

**Indiana Five-Year State Plan  
for the Use of Funds under the  
Carl D. Perkins Vocational  
and Technical Education Act  
of 1998 (FY00 - FY04)**

**(July 1, 1999 through June 30, 2004)**

**P.L. 105-332**

Indiana Department of Workforce Development  
Commission on Vocational and Technical Education

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**FIVE-YEAR STATE PLAN  
FOR TECHNICAL EDUCATION  
JULY 1, 1999 THROUGH JUNE 30, 2004  
(FY00 - FY04)**

**OVERVIEW - PLANNING, COORDINATION AND COLLABORATION**

**Introduction of Federal Perkins Funding**

Indiana has had legislation for vocational education since 1913, well before the federal government made funds available under the Smith-Hughes Vocational Education Act of 1917. Subsequent acts continued and expanded vocational education until 1984, when the first Carl D. Perkins Vocational Education Act replaced the Vocational Education Act of 1963 and its subsequent amendments.

The 1984 Perkins Act (Perkins I) focused on improving vocational programs and serving identified special populations. In 1990, the Perkins Act (Perkins II) was reauthorized as the Carl D. Perkins Vocational and Applied Technology Education Act. Perkins II strengthened services for special populations and the integration of vocational and academic instruction. This was the first federal reference to Tech Prep, although Indiana initiated Tech Prep under state law in 1989.

In 1997, once again, the Perkins Act came up for reauthorization which, after much time, deliberation and compromise, the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) was signed into law on October 31, 1998. Perkins III consolidates the number of funding streams, gives greater state and local flexibility at the same time mandating more accountability with sanctions for poor performance. Under Perkins III, there is greater emphasis on academic standards as well as the opportunity to integrate vocational and technical education and workforce development.

The purpose of Perkins III is to: build on the efforts of states and localities to develop challenging academic standards; promote the development of services and activities that integrate academic, vocational and technical instruction and that link secondary and postsecondary education; increase state and local flexibility to provide services and activities; and disseminate national research and provide professional development and technical assistance that will improve vocational and technical education programs.

**ICVTE Authority as State Eligible Agency**

Under state law, the Indiana Commission on Vocational and Technical Education (ICVTE)\* has

responsibility for developing, implementing, and overseeing a long-range state plan for vocational and technical education. The ICVTE is a Commission under the Indiana Department of Workforce Development which is the "eligible agency" for receipt and administration of federal vocational and technical education funds.

*\*Public Law 217, Acts of 1987; P.L. 51, Acts of 1990; P.L. 19, Acts of 1992; and P.L. 105, Acts of 1994*

The ICVTE responsibilities under Perkins III include: 1) coordination of the development, submission, and implementation of the Five-Year State Plan, and the evaluation of the programs, services, and activities assisted under Perkins III including preparation for nontraditional training and employment; 2) consultation with the Governor and appropriate agencies, groups, and individuals including parents, students, teachers, representatives of businesses, labor organizations, eligible recipients, state and local officials, and local program administrators, involved in the planning, administration, evaluation, and coordination of programs funded under Perkins III; 3) convening and meeting as the "eligible agency" under state law at such time as the eligible agency determines necessary to carry out the eligible agency's responsibilities under Perkins III but not less than four times annually; and 4) the adoption of such procedures as the eligible agency considers necessary to: a) implement state-level coordination with the activities undertaken by the state Workforce Investment Board under section 111 of Public Law 105-220, and b) make available to the service delivery system under section 121 of Public Law 105-220 with the state a listing of all school dropout, postsecondary, and adult programs assisted under Perkins III. With the exception of the four identified responsibilities noted above, the ICVTE may delegate any of the other responsibilities of the eligible agency that involve the administration, operation, supervision of activities assisted under Perkins III, in whole or in part, to one or more appropriate state agencies. [Sec. 121(a)]

### **Joint Planning and Coordination**

Joint planning and coordination are important elements of not only Perkins III but other federal legislation including the Workforce Investment Act (WIA) (P.L. 105-220).

The ICVTE meets as a governor-appointed body a minimum of six times annually to carry out its legislated responsibilities, including the development of this Five-Year State Plan for Vocational and Technical Education. The ICVTE comes under the auspices of the Indiana Department of Workforce Development (DWD) with its Commissioner serving, also, as the Commissioner of the ICVTE. DWD's Technical Education staff serves as "staff" to the ICVTE. The Deputy Commissioner for Technical Education and Training, who is also the State Director of Indiana's School-to-Work System initiative, oversees Technical Education and meets at least weekly with other DWD Executive Team members to coordinate and collaborate concerning workforce issues. DWD's Technical Education Director who is the State Director of Vocational and Technical Education serves as Assistant Director of STW and a member of the Technical Education staff has direct STW Management Team responsibilities. DWD is the lead agency and fiscal agency for STW funds with five other state agencies also involved: Indiana Commission for Higher Education, Department of Commerce, Indiana Department of Education, Family and Social Services Administration and Professional Standards Board.

The Core Indicators of Performance identified under Indiana's Five-Year State Plan will be reviewed and commented on by the state Workforce Investment Board with authority under the

WIA at least once annually. That state board with its representation cuts across other federally funded programs.

The ICVTE shall review and comment on the activities of the state Workforce Investment Board and meet with them annually to assure coordination and avoid duplication with WIA Title 1 programs, Adult Education, and other federal training programs. [Sec. 122. (c)(21)]

The ICVTE will make available to the WIA One-Stop delivery system a list of all postsecondary and adult programs assisted under Perkins III. [Sec. 121. (a)(1)(D)(ii)]

Through six Public Hearings on Perkins III, there was the opportunity for input from various state agencies and local agencies implementing other federally funded programs. Any organized local WIBs had the opportunity to review and testify at the Public Hearings on the Five-Year State Plan for the Use of Funds Under the Carl D. Perkins Vocational and Technical Education Act of 1998. [Sec. 122 (c)(16)]

Memorandum of understandings will be developed between the chief elected official for the local WIA boards and One-Stop partners, including public postsecondary institutions conducting vocational and technical education programs/services/activities for postsecondary students and school drop-outs, including non-duplication of programs under Perkins III as outlined in section 121(c) of the Workforce Investment Act of 1998. [Sec. 122(c)(21)].

Eligible postsecondary institutions will describe in their Five-Year Local Plans how Perkins III funds may be used to fulfill the WIA for joint planning and coordination of programs/services and activities. [Sec. 122 (c)(21)]

The WIA and Perkins III are administered under the same state agency which allows for staff communication, collaboration, planning and coordination.

The ICVTE and the Governor designate DWD as the lead state agency to provide occupational and employment information designed to improve career decision-making, make available information and planning resources that relate to education preparation to career goals and expectation, and improve coordination and communication among administrators and planners of programs authorized by Perkins III and the Workforce Investment Act.

### **State Planning Process**

The purpose of funding under the **Five-Year State Plan** is to develop more fully the academic, vocational, and technical skills of secondary students and postsecondary students who elect to enroll in vocational and technical education programs by (1) building on Indiana's efforts to develop challenging academic standards; (2) promoting the development of services and activities that integrate academic, vocational and technical instruction, and that link secondary and postsecondary education for participating vocational and technical education students; (3) increasing the local flexibility in providing services and activities designed to develop, implement, and improve vocational and technical education including Tech Prep education; and (4) providing professional development and technical assistance that will improve vocational and technical education programs, services, and activities. [Sec. 2 Purpose]

This Plan has four purposes: 1) to guide state agencies involved in technical education over the next five years; 2) to cite the goal, strategies and objectives of the ICSVTE; 3) establish the focus of activities of the Indiana Department of Education (DOE), Indiana Commission for Higher Education (CHE), Department of Correction (DOC) and local schools and postsecondary institutions over the next five years; and 4) to be the foundation for development of the annual performance reports.

Public Hearings were held across the state between March 1 and March 8 for the public and interested organizations and groups (including employers, labor organizations, and parents), to have an opportunity to express views and make recommendations concerning the **Five-Year State Plan for Use of Funds under the Carl D. Perkins Vocational and Technical Education Act of 1998**, FY00 - FY04 (July 1, 1999 - June 30, 2004), Public Law 105-332, to be submitted to the U.S. Department of Education for the administration of the Perkins Act by the Indiana Department of Workforce Development. [Sec. 122(a)(3)]

The State Plan was developed in consultation with teachers, eligible recipients, parents, students, interested community members, representatives of special populations, representatives of business and industry, and representatives of labor organizations. The State Plan was developed in consultation with the Governor. [Sec. 122(b)(1)] The DWD will develop effective activities and procedures, including access to information needed to use such procedures, to allow the individuals under the above listed categories, to participate in state and local decisions that related to the development of the State Plan. [Sec. 122(b)(2)]

The State Plan was developed in consultation with Indiana Department of Education as the state agency responsible for secondary education and the Indiana Commission for Higher Education as the state agency responsible for the supervision of Indiana's public postsecondary institutions, including two- and four-year programs. Any portion of the State Plan in which either state agency finds anything objectionable, was reported to DWD with responses to those objections in the State Plan under the Appendices. [Sec. 122 (e)(3)]

The Public Hearing notice was placed on the DWD Web site. Copies were mailed to the following: state PTA mailing list of 300; school superintendents; school principals; postsecondary administrators; area vocational directors; business and industry leaders; labor representatives; state councils, commissions, panels and committees; rehabilitation services offices; Workforce Development Offices; the media by request; Private Industry Council and Administrative Entities; and others. In addition, Public Notices were placed in appropriate area newspapers.

Public Hearing Issues concerning the Five-Year State Plan were made available upon request and via the DWD Web site. In addition, a draft of the Plan was available on the Web site, upon request and at the ICSVTE meeting.

More than 50 people were in attendance at the six public hearings, including secondary and postsecondary, students, business, industry and labor, parents, state agency staff, School-to-Work representatives, and members of the public.

Individuals were invited to provide testimony, as well as written comment and recommendations.

Copies of written testimony are on file. The summary of recommendations made at the Public Hearings, through written correspondence and through other means concerning the development of the State Plan and the state responses to the recommendations are included in the Appendices. [Sec. 122 (a)(3)]

### **DWD Vision and Mission**

The DWD Vision and Mission are provided as a guide under which the Five-Year State Plan has been developed.

Vision: Indiana will have the most qualified high performance workers in the nation and the most user-friendly public-private system for customers (students, workers, and employers) to access the resources they need for lifelong learning and training.

Mission: Lifelong Learning for Hoosiers

### **Goal and Priority Areas for Technical Education**

The ICVTE approved **A Strategy for Building a World-Class System of Vocational and Technical Education in Indiana**. This plan gives direction to the State in the preparation of the workforce through Indiana's public delivery system for vocational and technical education. More than 1,000 Hoosiers, through regional forums, had input into the development of the goal and priority areas. The development of the State Plans under Perkins I and II was guided by this Goal and these Priority Areas.

Goal: Prepare citizens for employment and further education through a lifelong learning system which is easy to enter, exit and reenter.

- Priority 1 Assure equal access to and opportunity for everyone to succeed in vocational and technical education, training and employment.
- Priority 2 Increase the level of skills of Indiana's current and future workforce.
- Priority 3 Guarantee all citizens access to quality and convenient career guidance, counseling, placement and development services throughout lifelong education.
- Priority 4 Evaluate all vocational and technical education programs so that we know they are working well.
- Priority 5 Improve the competencies of vocational education personnel by providing professional development opportunities.
- Priority 6 Link business, industry, labor, parents and the community to support vocational and technical education.
- Priority 7 Provide resources for the state's educational agencies and institutions to assure all Hoosiers access to world-class vocational and technical education programs.

### **Direction, Objectives and Strategies**

While the Goal and Priority Areas have been an excellent guide over the past ten years, the ICVTE took action to further refine them through the development of Direction, Objectives, and Strategies. This action was necessitated by the strengthening of ties in the workforce development community, the development of statewide skill standards, and the expansion of career guidance and counseling.

### **Direction**

On January 16, 1998 in a joint meeting of three governor-appointed bodies - Indiana Commission on Vocational and Technical Education, Workforce Proficiency Panel, and Building trades Advisory Committee - the following direction was approved:

***By July 1, 2000, vocational and technical education will  
be driven by occupational information, performance  
measures and expected outcomes.***

The following two objectives support the role of vocational and technical education in workforce development as part of Indiana's School-to-Work system.

### **Objectives**

- Prepare individual for careers and further education through a seamless, lifelong School-to-Work system
- Preparing students for employment with the necessary employability, academic, and occupational skills in the context of economic indicators and career objectives

Four Strategies provide the framework for the Five-Year State Plan for Vocational and Technical Education over the period from July 1, 1999 through June 30, 2004 (FY00 - 04).

### **Strategies**

- 1) Provide career awareness and career preparation for all learners
- 2) Develop, implement and utilize state-recognized skill standards and other approved systems of certification
- 3) Provide professional and curricular development, including:
  - a) teaching the way students learn;
  - b) integrating occupational, employability and academic skills based on business and industry identified skill standards;
  - c) reducing gender bias and stereotyping;
- 4) Provide for a quality improvement system for vocational and technical education with this foundation, the State and Local Five-Year Plans will encourage programs that lead to high skill, high demand career pathways.



## **ASSURANCES**

The State assures that it will:

1. comply with the requirements of Title I and the provisions of the State plan, including the provision of a financial audit of funds received under this title which may be included as part of an audit of other Federal or State Programs. [Sec.122(c)(10)]
2. expend none of the funds under this Title to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity, the employees of the purchasing entity, or any affiliates of such an organization. [Sec. 122(c)(11)]
3. include in its methods for joint planning and coordination an opportunity for the entities responsible for planning or administering programs and activities included in the unified plan to review and comment on all portions of the unified plan.  
[P.L. 105-220, Sec. 501(c)(3)(B)]

## **EDGAR CERTIFICATIONS**

I hereby certify that the:

Indiana Commission on Vocational and Technical Education (hereafter referred to as Commission) is eligible to submit the State Plan for Vocational and Technical Education as authorized under Part A of Title I of the Carl D. Perkins Vocational Education Act (P.L. 105-332) (hereafter referred to as Perkins Act); [34 CFR 76.104(a)(1)]

Indiana Commission on Vocational and Technical Education has authority under State Law (P.L. 217, Acts of 1987 and P. L. 21, Acts of 1995 to perform the functions of the State under the program; [34 CFR 76.104(a)(2)]

Indiana Commission on Vocational and Technical Education legally may carry out each provision of the State Plan; [34 CFR 76.104(a)(3)]

Provisions of the Plan are consistent with State law; [34 CFR 76.104(a)(4)]

Commissioner of Vocational and Technical Education has authority under State law to receive, hold, and disburse federal funds made available under the State Plan; [34 CFR 76.104(a)(5)]

Commissioner of Vocational and Technical Education has authority to submit the State Plan; [34 CFR 76.104(a)(6)]

Indiana Commission on Vocational and Technical Education has adopted and formally approved the State Plan; [34 CFR 76.104(a)(7)]

State Plan is the basis for State operation and administration of the program of vocational; and technical education; and [34 CFR 76.104(a)(8)]

That a copy of the State Plan was placed into the State Intergovernmental Review Process as established by Executive Order 12372, and the Governor's and Attorney General's certification are included on pages 1 and 2.

Date: \_\_\_\_\_ By: \_\_\_\_\_

Attest: \_\_\_\_\_

## **PROGRAM ADMINISTRATION**

The state of Indiana has prepared a State Plan for the five-year period, with annual revisions as the Indiana Commission on Vocational and Technical Education, Department of Workforce Development, determines to be necessary. [Sec. 122(a)(1)]

Under the Local Five-Year Plans and the State Plan section on State Programs and Leadership, the focus will be on vocational and technical education programs/services/activities that are designed to meet or exceed the state adjusted levels of performance, especially towards high skill, high demand career pathways. [Sec. 122(c)(1)]

The following description of secondary and postsecondary vocational and technical education programs by career clusters is provided which will develop, improve, and expand access to quality, state-of-the-art technology in vocational and technical education programs in high skill, high demand career pathways. [Sec. 122(c)(1)(A)]

The criteria that will be used in the eligible agency approving Five-Year Local Plans is included in the Appendices. A major criteria is that programs served under this Act must lead towards high skill, high demand career pathways. [Sec. 122(c)(1)(B)]

Vocational and technical education programs will prepare vocational and technical education students for opportunities in postsecondary or post high school training and entry into high skill, high demand career pathways in current and emerging occupations through articulation agreements between secondary level programs and postsecondary institutions; awarding of state-level Certificates of Achievement, other state or national certificates, or locally-determined certificates based on identified local business/industry needs; and Tech Prep 2 + 2 curriculum/programs of study. [Sec. 122(c)(1)(C)]

Under the Local Plans, funds will be used to improve or develop new vocational and technical education courses that lead towards high skill, high demand career pathways. [Sec. 122(c)(1)(D)]

Comprehensive professional development for vocational and technical, academic, guidance, and administrative personnel will be described through Local Plans and statewide activities under the State Plan's State Programs and Leadership Development activities. Initial teacher preparation will be strengthened through State Program and Leadership Development activities for internships for teachers- and counselors-to-be who are in public teacher/counselor preparation programs at the five four-year public postsecondary institutions. [Sec. 122(c)(2)]

Indiana will actively involve parents, teachers, local businesses (including small- and medium-sized businesses), and labor organizations in the planning, development, implementation, and evaluation of vocational and technical education programs through the ICVTE, state Workforce Investment Board, Workforce Proficiency Panel, state PTA organization, state Building Trades Advisory Committee, Business Modernization Technology Corporation (BMT), regional School-to-Work boards, committees and task forces, Tech Prep consortia, local industry committees, economic development groups, Secondary and Postsecondary Advisory Committee to the State

Director of Vocational and Technical Education and the Technical Education staff of DWD, skills standards education/business partnerships, DWD Workforce Development Specialists and more. [Sec. 122(c)(3)]

Academic and technical skills of students participating in vocational and technical education programs, including strengthening the academic, and vocational and technical, components of vocational and technical education programs through the integration of academics with vocational and technical education to ensure learning in the core academic, and vocational and technical, subjects, and strong experience in, and understanding of, all aspects of an industry will be enhanced through the use of Basic Grant funds and state and federal Tech Prep funds under the State Plan. [Sec. 122(c)(5)(A)]

Indiana will ensure that students who participate in vocational and technical education programs are taught to the same challenging academic proficiencies as are taught to all other students based on the measure of the Core Indicator of Performance using I-STEP Plus scores for secondary students. Postsecondary students who cannot meet the academic proficiencies required by their respective programs are placed in remediation until such time that their academic skills are at the level required for entry into a degreed program and maintained at a minimum academic GPA in order to remain and be successful in the program. [Sec. 122(c)(5)(B)]

As written in the Five-Year Local Plans and in each consortium's Five-Year Tech Prep Plan, comprehensive professional development activities will focus on improving the academic and technical skills of students and ensuring the vocational and technical education students are taught to the same challenging academic proficiencies as are taught to other students. Each Local Plan and the Tech Prep Plan will describe a professional development planning process that involves the intended recipients of the training in the development of the professional development programs. State Programs and Leadership funds will be used to provide professional development workshops to strengthen skill standards and credentialing as part of Indiana Essential Skills and Technical Proficiency Initiative. In addition, State Programs and Leadership and Tech Prep funds will be used for teacher/counselor educator internships, including preservice teachers/counselors. Additional funds will be used in training teachers and counselors and others to strengthen career guidance and counseling data and information through a variety of resources. [Sec. 122(c)(2)]

Technical assistance on Local Plans, Tech Prep, and special projects will be provided to local educational agencies, area vocational districts and eligible postsecondary institutions through the services of the DWD, Indiana Department of Education and Indiana Commission for Higher Education staff. [Sec. 122(c)(14)]

Occupational and employment information is provided in several ways. The Indiana Career Cluster Guide provides occupational, employment and training information, including actual statewide numbers of labor force supply and demand for all 14 Career Clusters approved by the ICVTE on March 14, 1996. Each Career Cluster is subdivided into Career Focuses and Units of Analysis. Career Focuses are subsets of the broad Career Clusters with the Units of Analysis linking labor market supply information and labor market demand information. Information on regional and local occupational opportunities is available through Workforce Development Offices, economic development initiatives, and other local/regional entities. In addition, the ICIS

provides free career and educational information to Indiana residents through the Internet. Indiana residents have the opportunity to explore wage, employment outlook, and training information for a wide variety of careers. [Sec. 122(c)(15)]

Under the Local Plans, each Area Vocational District and eligible postsecondary institution must describe how funds will be used effectively to link secondary and postsecondary education. In addition, under each Consortium's Tech Prep Plan, the linkages between secondary and postsecondary must be described, including articulation agreements concerning curriculum/credit, joint professional development for teachers and counselors, educational technology and distance learning. [Sec. 122(c)(19)]

Each Local Plan will describe the steps that will be taken to ensure equitable access to, and equitable participation in, the programs/services/activities to be conducted with funds under Perkins III, by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color national origin, disability, and age as authorized in Section 427(b) of the General Education Provisions Act, as amended. [20 U.S.C.1228a]

To ensure coordination and avoid duplication among programs, including postsecondary vocational education activities authorized under Perkins III, listed in section 112(b)(8)(A) of the Workforce Investment Act of 1998, the Local Plan developed by eligible postsecondary institutions will cite the procedure developed between their institution and the respective WIB(s) in which they are a partner. [Sec. 122(c)(21)]

## **SUMMARY OF REQUIRED USES OF LOCAL OF LOCAL FUNDS**

Funds made available to eligible recipients shall be used to support vocational and technical education programs that:

1. Provide activities that strengthen the academic, and vocational and technical skill of students that lead towards high skill, high demand career pathways.
2. Provide students with experiences in all aspects of an industry that lead toward high skill, high demand career pathways.
3. Develop, improve and expand the use of technology in vocational and technical education programs that lead toward high skill, high demand career pathways.
4. Provide professional development programs for teachers, counselors and administrators.
5. Develop and implement evaluations of local vocational and technical education programs.
6. Initiate, improve, expand, and modernize quality vocational and technical education programs that lead toward high skill, high demand career pathways.
7. Provide services and activities that are of sufficient size, scope, and quality to be effective that lead toward high skill, high demand career pathways.
8. Link secondary and postsecondary vocational and technical education programs, including implementing Tech Prep programs that lead toward high skill, high demand career pathways.

## **SUMMARY OF PERMISSIVE USES OF LOCAL FUNDS [Sec. 135(c)(1-15)]**

1. Involve parents, businesses and labor organizations in the design, implementation and evaluation of vocational and technical education programs.
2. Provide career guidance and academic counseling for students participating in vocational and technical education programs.
3. Provide work-related experiences such as internships, cooperative education, school-based enterprises, entrepreneurship, apprenticeships and job shadowing that lead toward high demand, high skill, high wage, career path occupations.
4. Provide programs for special populations.
5. Expand development of business-education partnerships.
6. Assist vocational student organizations to utilize state-recognized skill standards and other approved systems of certification through VSOs Skills Standards events.
7. Provide mentoring and support services.
8. Provide for leasing, purchasing, upgrading or adapting equipment, including instructional aides. [At least thirty (30) percent (%) of any equipment funds under the local Basic Grant dollars must be used for programs that lead towards high skill, high demand career pathways.]
9. Provide teacher education programs in vocational and technical education.
10. Improve or develop new vocational and technical education courses that lead toward high skill, high demand career pathways.
11. provide support for family and consumer sciences programs. [Therefore, any Five-year Local Plan that uses funds for Family and Consumer Science programs must meet the Core Indicators of Performance and lead to high skill, high demand career pathways.
12. Provide vocational and technical education programs for adult and school dropouts.
13. Provide assistance to students who have participated in vocational and technical education programs in finding an appropriate job and continuing their education.
14. Support nontraditional training and employment activities that lead toward high skill, high demand career pathways.
15. Support other vocational and technical education activities that are consistent with the purposes of Perkins III.

## STATE PROGRAMS AND LEADERSHIP DEVELOPMENT INITIATIVES

### 1) Provide career awareness and career preparation for all learners

Sound career preparation is premised upon a strong career awareness system. Many Indiana studies have indicated a need for strong educational planning and career development opportunities for Indiana's young people. Research has shown that students are more likely to reach their individual goals when they have knowledge of labor market data and trends, an understanding of post high school educational options, personal management and team-building skills, and an awareness of their individual interests and aspirations. As a result of these studies, today's students, parents, educators, and employers understand the need for designing and managing guidance programs which open opportunities for all students and enable them to reach their individual aspirations.

#### **Required Activities**

*Assessment of how the needs of special populations are being addressed and how programs are designed to enable members of special populations to meet state adjusted levels of performance*

Conduct statewide analysis of Local Plans of how special populations are being addressed and how programs are designed to enable members of special populations to meet state adjusted levels of performance.

Enhance postsecondary opportunities for eligible students in secondary vocational and technical education.

*Support for programs that assist special populations in entering high skill, high demand career pathways*

Special populations students have access to Certificates of Technical Achievement to document technical, academic and employability skills.

#### **Permissive Activities**

*Improvement of career guidance and counseling*

Continue to develop and provide expanded career guidance and counseling information, including the expansion of apprenticeship and other non-traditional training opportunities.

Enable school, postsecondary institution, and community partnerships to develop a system of clearly described educational pathways based on Indiana's 14 Career Clusters. The Career Cluster Pathways will be used by students, incumbent workers/adults, families, counselors and others to develop, set, and achieve individual career goals.



**2) Develop, implement and utilize state-recognized skill standards and other approved systems of certification**

Essential skills and technical proficiencies are critical components in preparing people to be successful in the workplace, including technical, academic and employability skills. Indiana promotes an industry-driven standard setting process which relies on the expertise of owner/employers, labor, incumbent workers and educators to identify the necessary skills. Indiana has developed a state-level system of identification and a system of certification which allows secondary, postsecondary, and adult learners and incumbent workers to certify, throughout their career, what they know and can do regardless of how and where the skills were obtained. The model can be duplicated at a local/regional level to meet the needs of the local/regional labor market and of local/regional employers. The Certificates of Technical Achievement are used by individuals to continue their education and training and/or pursue a career. Employers use the Certificates in hiring, promotion, and production scheduling.

**Required Activities**

***Expansion of the use of technology***

Use the Internet, distance learning, and other electronic means as a teaching and counseling tool.

***Support for vocational and technical education programs that improve the academic and vocational skills of students***

***and***

***Support for partnerships between local education agencies, higher education, adult education, employers, labor, and parents to enable students to achieve State Academic Standards***

To continue development and implementation of essential skills and technical proficiencies and credentialing as the means to identify and document skill standards for students, incumbent workers/adults and others as required to be successful in the workplace.

To assist incumbent workers/adults seeking employment or desiring promotion and to help business and industry seeking qualified workers through the development of new processes and procedures for assessing adults and incumbent workers and ensuring they have the optimum chance for success in promotions and placement in new jobs or postsecondary education; and to train staff in implementation procedures for documenting and credentialing core, concentration, and specialty skill standards.

**Serving individuals in state institutions such as Department of Correction**

To provide programs with special consideration to criminal offenders in state institutions completing their sentences and preparing for release; to establish programs in high skill, high demand career pathways; to provide programs for women who are incarcerated; to improve equipment in high skill, high demand career pathways; and to provide vocational education

services before and after release.

- 3) Provide professional and curricular development, including:**
- a) teaching the way students learn;**
  - b) integrating occupational, employability and academic skills based on business and industry identified skill standards;**
  - c) reducing gender bias and stereotyping;**

For sustainability, professional and curricular development are critical. Professional development must result in curricular changes if it is to impact students. Therefore, the strategies used target the local and regional levels which reaches teachers, instructors and counselors. Educators will develop professional skills and curriculum that assist Hoosier students for employment and further education through a lifelong learning system.

### **Required Activities**

#### ***Provision for Professional development***

To provide technical assistance and professional and curricular development school improvement opportunities to raise the academic achievement levels in math, science and English skills of students. To provide teachers and counselors with instruction in teaching methodologies related to instructional methods and curriculum development, classroom management, basic skills curriculum, integration of academic and vocational, career cluster and labor market information, assessment and skill standards so they can strengthen their programs.

To promote activities that provide professional development concerning School-to-Work with special emphasis on vocational and technical education for labor organizations and apprenticeship coordinators, business managers and agents; to promote activities that involve vocational educators with labor training and development; and to provide professional development and joint planning to promote apprenticeship and labor organizations as a path to high skill, high demand career pathways, including gender nontraditional employment leading to self-sufficiency for all people.

#### ***Providing preparation for nontraditional training and employment***

Provide for teachers/counselors, including teacher/counselor educators and pre-service teacher/counselor, with experiences in business and industry in nontraditional training and employment.

Promote activities that provide professional development and joint planning to promote apprenticeships and labor organizations as a path to high wage nontraditional employment.

Provide for teachers/counselors, including teacher/counselor educators and pre-service teacher/counselor, with experiences in business and industry in nontraditional training and employment.

**4) Provide for a quality improvement system for vocational and technical education**

Continuous quality improvement is critical in strengthening vocational and technical education. There are a number of ways quality improvement is built into the system and every strategy, as appropriate, must include performance measures and expected levels of performance as one way to determine quality improvement.

**Permissive Activities**

***Provide Technical Assistance***

To continuously update and improve data and information that provides the basis for documented skill standards, comprehensive and coordinated data processing services for secondary, postsecondary and incumbent worker/adult education and assessment to enhance the quality improvement of programs/services/activities.

## ACCOUNTABILITY AND EVALUATION

To establish a State performance accountability system, the following four Core Indicators of Performance and State Adjusted Levels of Performance are established for the first two years of the State Plan.

### CORE INDICATOR

#### 1. Attainment

Student attainment of challenging State established academic, and vocational and technical, skill proficiencies.

- a. Percentage of secondary students who complete vocational and technical education programs and pass the ISTEP+ Graduation Qualifying Exam for academic skills.

LEVEL OF PERFORMANCE      Baseline to be set in FY00

- b. Percentage of secondary students who are enrolled in a program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE      20%

- c. Percentage of secondary students who complete a vocational and technical education program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE      70%

- d. Percentage of postsecondary students who complete occupationally specific programs and have a cumulative grade point average of 2.0 / 4.0 or better.

LEVEL OF PERFORMANCE      90%

- e. Percentage of postsecondary students who are enrolled in an occupationally specific program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE      20%

- f. Percentage of postsecondary students who complete an occupationally specific program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE          70%

## **2. Completion**

Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma, or a postsecondary degree or credential.

- a. Percentage of secondary students who complete vocational and technical education programs and attain a high school diploma or its recognized equivalent.

LEVEL OF PERFORMANCE          85%

- b. Percentage of postsecondary students who enroll in occupationally specific programs as degree-seeking students and attain a postsecondary degree or credential within three years.

LEVEL OF PERFORMANCE          20%

***OR***

Percentage of postsecondary students who enroll in occupationally specific programs as degree-seeking students and attain a postsecondary degree or credential within six years.

LEVEL OF PERFORMANCE          31%

## **3. Placement**

Placement in , retention in, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment.

- a. Percentage of secondary students who complete vocational and technical education programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE          75%

- b. Percentage of postsecondary students who complete occupationally specific programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE 83%

#### 4. Equity

Student participation in and completion of vocational and technical education programs that lead to nontraditional training and employment.

- a. Percentage of secondary students participating in vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 5%

- b. Percentage of secondary students completing vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 3%

- c. Percentage of postsecondary students participating in occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 10%

- d. Percentage of postsecondary students completing occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 2%

The Core Indicators of Performance operate under the following guidelines:

1. The Core Indicators of Performance described above are for FY 2000 – FY 2001. The Core Indicators and Levels of Performance will be reviewed and appropriately adjusted prior to FY 2002.
2. Reasonable effort should be made to report data by the special populations listed below:
  - a. Individuals with disabilities
  - b. Individuals from economically disadvantaged families, including foster children
  - c. Individuals preparing for nontraditional training and employment
  - d. Single parents, including single pregnant women
  - e. Displaced homemakers
  - f. Individuals with other barriers to educational achievement, including individuals with limited English proficiency

Individuals with barriers to educational achievement may include students with educational disadvantages, and should be distinguished from other categories when reporting data, including individuals with limited English proficiency.

DWD will report annually on the progress of special populations in meeting the Core Indicator Levels of Performance.

3. All data will be aggregated to the area vocational district or postsecondary institution level to determine whether the Core Indicator Levels of Performance have been met. DWD will aggregate the data to the State level to determine whether the State, as a whole, has met the Core Indicator Levels of Performance.
4. If an eligible recipient is not making substantial progress in achieving the Core Indicator Levels of Performance listed above, the eligible recipient will enter into an improvement plan with the State. Substantial progress is defined as a 1 percent increase over the previous year. FY 2000 will be the baseline year for improvement plans; thus no improvement plans will be required until FY 2001.
5. Area vocational district and postsecondary institution records may be used to report results instead of or in combination with DWD records. This option will be negotiated on a case-by-case basis through the Five-year Local Basic Grant Application.
6. Individualized Education Plans (IEPs) should be followed. If a student, as outlined in an IEP, is exempt from some aspects of the Core Indicators of Performance, the student should not be included in the calculations for that specific Core Indicator of Performance.

## **SPECIAL POPULATIONS AND OTHER GROUPS**

Each Local Plan must describe program strategies for special populations. At the state level, the Indiana State Board of Education is responsible for section 612(6) of the Education of the Handicapped Act. The state staff in the Division of Special Education of the Indiana Department of Education provide general supervision of Special Needs state initiatives. The Division of Special Education and Career and Vocational Services coordinate training sessions and technical assistance to support the implementation of the special populations provisions of Perkins III. Assistance is provided to state and local staff in order to comply with the requirements of IDEA and other state and federal law. [Sec. 122(c)(7)]

Individuals who are members of special populations will be provided with equal access to activities under Perkins III as addressed by the Local Plans. [Sec. 122(c)(8)(A), (B) and (C)] Each eligible recipient shall describe in their Local Plan how they will review vocational and technical education programs, and identify and adopt strategies to overcome barriers that result in lowering rates of access to or lowering success in the programs, for special populations; and will provide programs that are designed to enable the special populations to meet the state Core Indicators of Performance. In addition, they will describe how individuals who are members of the special populations will not be discriminated against on the basis of their status as members of the special populations. Also, they will describe how funds will be used to promote preparation for nontraditional training and employment in high skill, high demand career pathways. [Sec. 134(b)(7)-(9)]

Indiana will adequately address the needs of students in alternative education programs through a joint initiative utilizing multiple sources of federal funding. This initiative is a continuation of an alternative education program started in FY99. [Sec. 122(c)(13)]

Through State Programs and Leadership funds, an initiative will be promote preparation for nontraditional training and employment. [Sec. 122(c)(17)]

Funds will be used to serve individuals in state correctional institutions. [Sec. 112(a)(2)(A)] The Indiana Department of Correction will develop a Five-Year Local Plan for the use of funds in accordance with specifications of the local application. Activities in the DOC Local Plan will be consistent with the requirements of the Five-Year Local Plans for secondary and postsecondary education. [Sec. 122(c)(18)]



## **TECH PREP**

Definition of Tech Prep - Tech Prep is a nonduplicative sequences of courses in career fields (clusters) with a curriculum/program of study that is carried out under an articulation agreement between the participants in the consortium and consists of at least two years of secondary school preceding graduation and two years or more of higher education, or an apprenticeship program of at least two years following secondary instruction with a common core of required proficiency in math, science, reading, writing, communications, and technologies leading to an associate's degree or a postsecondary certificate in a specific career field. It may use work-based or worksite learning in conjunction with business and all aspects of an industry. [Sec. 204]

Each funded Tech Prep curriculum/program of study will be carried out under an articulation agreement between the participants in the consortium by Workforce Partnership Area, including school corporations, area vocational districts, public postsecondary two- and four-year institutions, and may include apprenticeships, private postsecondary institutions, and employer or labor organizations. [Sec. 204(c)(1)]

Each funded Tech Prep curriculum/program of study will consist of articulations agreements for at least two years of secondary school preceding high school graduation and two years or more of higher education, or an apprenticeship program of at least two years following secondary instruction with a common core of required proficiency in mathematics, science, reading, writing, communications, and technologies designed to lead to an associate's degree or a postsecondary certificate in a specific career field. [Sec. 204(c)(2)]

Each funded Tech Prep curriculum/program of study will met academic standards developed by the state for secondary education, link secondary and postsecondary institutions through nonduplicative sequences of courses, use work-based learning, educational technology and distance learning. Each consortium application will describe the ways in which these will be met. [Sec. 204(c)(3)(A-D)]

Each funded Tech Prep curriculum/program of study includes in-service training for teachers that addresses the concerns of Perkins III, specifically in providing professional and curricular development, including: a) teaching the way students learn; b) integrating occupational, employability and academic skills based on business and industry identified skill standards. [Sec. 204(c)(4)(A-E)]

Each funded Tech Prep curriculum/program of study includes training programs for counselors designed to enable counselors to more effectively---

- (A) provide information to students regarding technology education programs;
- (B) support student progress in completing tech-prep programs;
- (C) provide information on related employment opportunities;
- (D) ensure that such students are placed in appropriate employment; and
- (E) stay current with the needs, expectations, and methods of business and all aspects of an industry. [Sec. 204(c)(5)(A-E)]

Each funded Tech Prep curriculum/program of study provides equal access to individual who are members of special populations as described in the Consortia's Five-Year Local Plans. [Sec. 204(c)(6)]

Each funded Tech Prep curriculum/program of study provides for preparatory services that assist participants in Tech Prep programs. [Sec. 204(c)(7)]

In addition, each tech-prep program may---

- (1) provide for the acquisition of tech-prep program equipment;
- (2) acquire technical assistance from State of local entities that have designed, established, and operated tech-prep programs that have effectively used educational technology and distance learning in the delivery of curricula and services and in articulation process; and
- (3) establish articulation agreements with institutions of higher education, labor organizations, or businesses located inside or outside the State and served by the consortium, especially with regard to using distance learning and educational technology to provide for delivery of services and programs.

The formula used to award grants to each Tech Prep consortium is as follows:

Allocations will be made by 15 School-to-Work Partnership Consortia with each receiving a base allocation of \$10,000. After removing the base amount, the remainder of the Tech Prep funds will be allocated based on the number of high schools, area vocational schools, area vocational districts and postsecondary institutions in each partnership. A dollar value was assigned to each (designated a factor).

<u>Factor</u>	<u>Dollar Value</u>
High School	= \$3,000
Postsecondary Institution	= \$3,000
Area Vocational School	= \$5,000
Area Vocational District	= \$5,000

For each factor, its dollar value will be multiplied by the total number of participants to arrive at a total dollar value for the factor.

<u>Factor</u>	<u>Participants</u>	<u>Dollar Value</u>
High School	353	\$1,059,000
Postsecondary Institution	51	\$153,000
Area Vocational School	28	\$140,000
Area Vocational District	47	\$329,000
TOTAL		

From the total dollar values, percentages were calculated for each factor. These percentages were multiplied by the remainder of Tech prep funds to arrive at the amounts to allocate for each factor. The percentages and allocations for each factor were:

<u>Factor</u>	<u>Percent</u>	<u>Dollar Value</u>
High School	63%	\$1,395,207
Postsecondary Institution	9.1%	\$201,574
Area Vocational School	8.3%	\$184,447
Area Vocational District	19.6%	\$433,450
TOTAL	100%	\$2,214,678

For each factor, a Consortium will receive an amount that is in proportion to the number of its participants to the total number of participants for that factor.

The total percent may not be exactly 100 percent because of rounding differences.

Therefore, the total Tech Prep allocation for a Consortium is the sum of the base allocation plus the sum of the factors' allocations.

Special consideration will be given to applications that address the following areas, including (1) providing for effective employment placement activities or the transfer of students to baccalaureate degree programs; (2) development in consultation with business, industry, institutions of higher education, and labor organizations; (3) addressing effectively the issues of school dropout prevention and reentry and the needs of special populations; and (4) providing education and training in areas or skills in which there are significant workforce shortages, including the information technology industry; and (5) demonstrating how Tech Prep curriculum/program of study will help students meet high academic and employability competencies. [Sec. 205(d)(1-5)]

By going to a regional consortium approach, there is balance and equitable distribution of assistance between urban and rural consortium participants based on the geographic areas. [Sec. 205(e)]

The Tech Prep curriculum/program of study will be evaluated using the Core Indicators of Performance in selected areas of Attainment, Completion and Placement.

[Sec 114(c)93)(B)(1)(v)(I)] [Sec. 204(c)(3)] [Sec. 204(c)(6)-(7)] [(Reference: Accountability and Evaluation Section)]

A data collection plan will be formulated and used by the state agency responsible for administering Tech Prep to address the reporting requirements under Perkins III. [Sec. 206]

There are no changes to Tech Prep curriculum/program of study under Perkins III that were not allowed under Perkins II, including using work-based and worksite learning, extending the model beyond the original 2 + 2 model, incorporating institutions of higher education that award baccalaureate degree programs, and/or employer or labor organizations.

All five four-year public postsecondary institutions in Indiana have been fully involved in Tech Prep Consortia under Perkins II which will continue under Perkins III. Involvement of employer or labor organizations will be expanded under Perkins III funded Tech Prep Consortia.

## FINANCIAL REQUIREMENTS

Funds received through the allotment made under section 111 will be a 60/40 split between secondary area vocational districts (AVDs) and eligible postsecondary institutions. The Indiana General Assembly determined that 60 percent would go to the secondary level and 40 percent to postsecondary institutions. [Sec. 122(c)(4)(A)]

Funds received through the allotment made under section 111 will be allocated among area vocational districts consortia formed under state law which serve all Indiana school corporations and eligible public postsecondary institutions or consortia of public postsecondary institutions that do not meet the \$50,000 minimum generated by Pell Grants. [Sec. 122(c)(4)(B)]

The following is a description of secondary and postsecondary formulas used to allocate funds available under Section 111.

### Distribution of Funds to AVDs

70% of the allocation bears the same relationship to such 70% as:

the amount such local educational agency was allocated under section 1005 of the Elementary and Secondary Education Act of 1965 in the year preceding the year in which the allotment was made (calculated).

-----  
-total amount received under such section by local educational agencies in the state in the same year.

20% of the allocation bears the same relationship to such 20% as

the number of students with handicaps who have individualized education programs under section 614(a)(5) of the Education of the Handicapped Act served by such local educational agency in the year preceding the year in which the allotment was made (calculated).

-----  
-total number of such students served by local educational agencies in the state in such year.

10% of the allocation bears the same relationship to such 10%

the number of students enrolled in schools (K-12) and adults enrolled in (vocational education) training programs under the jurisdiction of such local educational agency in the year preceding the year in which the allotment was made (calculated).

-----  
-total number of students enrolled in schools (K-12) and adults enrolled in (vocational education) training programs under the jurisdiction of all local educational agencies in such year.

Allocations were established according to the above formula for each eligible school corporation. these allocations wee then assigned to a single fiscal agent within each AVD. Each AVD, through this consortia arrangement, developed their Local Plan to provide programs/services/activities for students. See the Appendices for secondary-level vocational education allocations by AVD.

Distribution to Postsecondary Institutions. The following formula provided each eligible postsecondary institution with their allocation:

the number of Pell Grant recipients . . . enrolled in programs meeting the requirements of Section 132A(2) offered by such institution in the year preceding the year in which the allotment was made (calculated).

-----  
total number of such recipients enrolled in such programs within the state in such year.

See the Appendices for postsecondary and adult level Pell Grant allocations by site.

A detailed budget table is in the Appendices which addresses:

- a. The amounts to be made available for purposes under section 112(a)(1);
- b. The amounts to be made available for state leadership under section 112(a)(2);
- c. The amounts to be made available to serve individuals in state institutions, as described in section 112(a)(2)(A);
- d. The amounts to be made available for services under section 112(a)(2)(B);
- e. The amounts to be expended for state administration under section 112(a)(3);
- f. The amounts to be expended for matching of federal expenditures for state administration;
- g. The amounts, if any, reserved to address section 112(c);
- h. The amounts to be expended for Tech Prep curriculum/program of study under Title I and II; and
- i. The amounts for each of the above categories to be expended by local educational agencies and postsecondary institutions.

By using Area Vocational Districts which are consortia of all high schools, eligible recipients in rural and sparsely populated areas are able to meet the minimum allocation and benefit for purposes under sections 131(d)(2) and/or 132(a)(4).

#### Financial Assurances

There will be an annual submission of subrecipient allocations made from funds available under section 112(a) and (c) for each year of the five-year plan.

There will be an annual submission of allocations made to consortia from funds available under section 112(a) and (c) for each year of the five-year plan.

## APPENDIX A

### SUMMARY AND PUBLIC RECOMMENDATIONS AND STATE'S RESPONSES

**Under the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III), public hearings are required to receive comments and recommendations concerning Indiana's Five-Year State Plan for the Use of federal Vocational and Technical Education Funds under Perkins III. The following categories summarize the testimony and written input received by Indiana Department of Workforce Development at the six Public Hearings, by mail and electronically by e-mail and voice mail.**

#### **FLEXIBILITY**

##### Summary of Testimony

Perkins III provides more flexibility and local control for developing, implementing, and evaluating programs, services and activities, including reviewing previous programs, services and activities offered under Perkins II and expanding and improving programs, services and for their localities.

##### Response

The stated purpose of Perkins III is "to develop more fully the academic, vocational and technical skills of secondary students and postsecondary students who elect to enroll in vocational education, by . . . 3) increasing state and local flexibility in providing services and activities designed to develop, implement, and improve vocational and technical education, including Tech Prep education. . ."

In Indiana's Five-Year State Plan, every effort is made to consider both state and local needs as allowed by Congress and stated in its purpose. [Sec. 2.] Under Perkins II and in concert with state legislation creating the Indiana Workforce Proficiency Panel, statewide emphasis has been on programs that lead towards high skill, high demand career pathways. A statewide example is the Indiana's Essential Skills and Technical Proficiencies Initiative focusing on selected occupational areas and endorsement by the Panel of other state and national skill standards.

Under Perkins III, expanded emphasis has been placed on high skill, high demand career pathways through selected required and permissive activities. High skill, high demand career pathways are defined as 1) those which lead towards a Certificate of Technical Achievement; 2) those in which there are state and national skill standards established by industries and endorsed by the Workforce Proficiency Panel; 3) those regional and local competency-based programs endorsed by industry committees based on local, regional or state labor market information for local economies, including those which have regional/state/national skill certification or licensure.

#### **OCCUPATIONAL AND EMPLOYMENT INFORMATION**

##### Summary of Testimony

Focusing on labor market information, especially information from 1990, to fill some quota for jobs will be harmful to programs, especially rural communities.

### Response

A number of sources of data and information are being used, including the short-term projection series through 2002. Sources of data used by local schools and postsecondary institutions may include not only state data, but also local, regional and national as appropriate. There is no intent by Congress or the state to fill any so-called job quotas. Not only rural communities, but urban and combination rural/urban communities must look closely at occupational and employment information based on local data and information that meets the needs of local economies as they determine what their needs are. In Perkins III, Congress emphasizes those "who elect to enroll in vocational and technical education," thus providing choice to students at the secondary, postsecondary and adult levels of educational opportunities.

## **EQUIPMENT**

### Summary of Testimony

Setting a 30 percent cap on Perkins III Basic Grant dollars for equipment for secondary area vocational districts would be an unreasonable limitation, especially in light of the required use of local funds "to develop, improve or expand the use of technology in vocational and technical education."

Being able to use a high percent of Perkins II funds for equipment has meant that personnel costs were kept at a minimum and students have been able to reap the greatest benefit from programs that are adequately equipped with the latest equipment.

Equipment funding should be a local decision.

The cap on equipment expenditures should be increased from 30 percent to 50 percent.

Our area vocational school needs to upgrade and modernize equipment. Based on our employer advisory committee reports, this should be one of our top objectives if we wish to train students for high wage, high demand career pathways.

Using Perkins funds for equipment assists us to obtain nationally certified programs and operate programs that lead towards high skill, high demand occupations.

Equipment has not kept pace with technological changes. Classroom instructors are trying to teach a '90s curriculum with equipment from the '70s or before because of a lack of funds to support replacement equipment.

### Response

One of the biggest challenges for secondary area vocational districts and postsecondary institutions is to meet the intent of Congress to improve vocational and technical education and target limited federal funds for new or expanded activities and not simply to maintain current activities. There are eight required uses of local Basic Grant dollars which must be addressed after which Congress has provided each state a list of permissive activities. One of those required activities focuses on the use of technology, which may provide the "academic, and vocational and technical education programs." Both of those required activities allow for equipment to be purchased.

In the draft of Public Hearing Issues, it was proposed that a 30 percent cap be placed on use of Local Basic Grant dollars for equipment.

In the Five-Year State Plan, at least 30 percent of any equipment funds under the local Basic Grant dollars used be for programs that lead towards high skill, high demand career pathways. By putting this minimum restriction on use of any Perkins III local Basic Grant funds used for equipment, Indiana will enhance its statewide direction leading towards high skill, high demand career pathways at the same time providing local flexibility within the required uses set forth by Congress. Reference the response under Flexibility and Occupational and Employment Information.

The permissive use stating that the "leasing, purchasing, upgrading or adapting equipment, including instructional aides" has been added into the list of 15 permissive uses.

### **PERMISSIVE USE OF FUNDS - FAMILY AND CONSUMER SCIENCES (FACS)**

#### Summary of Testimony

According to DWD personnel, FACS courses are not vocational and do not train people for careers.

Food service, childcare and other home economics related occupations are not considered by DWD personnel to be vocational and technical education.

The proposal to disallow FACS from receiving Perkins III funding would seriously harm programs designated for family education in favor of programs that are seen as more directly beneficial for training Indiana's workforce.

While FACS offers family education, no programs are more critical to the long-term success of Hoosier businesses than the kinds of skills taught in family and consumer sciences, including interpersonal skills, public speaking, teamwork, leadership, problem-solving and consumer management. FACS courses are designed to teach competencies that ALL students need to succeed, both as workers and as members of families and communities. Therefore, these FACS courses contribute workplace competencies and skills that are needed by ALL workers, regardless of their particular jobs and careers.

Any decrease in funding would limit courses offered and, in some schools might eliminate complete programs. Removing FACS from the permissible uses list for the federal money is sending a clear message that our state does not value FACS vocational education and that the DWD has taken away the local control that was so carefully established in the federal law.

#### Response

DWD personnel consider FACS to be vocational education, and, in fact, report FACS enrollments in the Annual Vocational Education Performance Report. In addition, Perkins II State Programs and Leadership Funds have been used for professional and curriculum development as well as for skill standards for FACS.

Occupational specific programs such as food service, child care, interior design and others have



been and continue to be vocational and technical education programs regardless of whether they are delivered through FACS or other departments.

In reviewing the Perkins III definition of vocational and technical education, previous use of federal Perkins II funds for FACS, required uses of local Basic Grant dollars, and input from Public Hearings, FACS is included in the Five-Year State Plan as a permissible activity. Local Basic Grant dollars may be used to provide professional development as well as serving special populations. Any Five-Year Local Plan that uses funds for FACS programs must include them in the Core Indicators of Performance accountability system.

Please note that local Basic Grant dollars may be used to provide professional development for FACS teachers as well as serving special populations in FACS programs.

Under Perkins III, any funds used for FACS programs must meet the Core Indicators of Performance and lead towards high skill, high demand career pathways.

## **SPECIAL POPULATIONS**

### *Summary of Testimony*

Perkins III now requires that the special populations category of Single Parents/Displaced Homemakers be served through Area Vocational Schools but without categorical funding which were available in the past.

### *Response*

Under Perkins II, Single Parents/Displaced Homemakers/Single Pregnant Teens was a set-aside with funding going by Service Delivery Areas to eligible recipients to serve the area through a competitive process with an annual renewal plan. In many of areas, the Private Industry Council provided services but in several areas services were provided through a postsecondary institution or area vocational school.

Under Perkins III, Congress chose to eliminate categorical funding for both Single Parents/Displaced Homemakers/Single Pregnant Teens and gender equity while at the same time it expanded the definition of Special Populations to include single parents, including single pregnant women, and displaced homemakers. In addition, it added the responsibility for promoting preparation for nontraditional training and employment through local Basic Grant. The old categorical funding was shifted to the local level by adding 10 percent more funding under a "block grant" approach with 85 percent of Perkins III funds going for local Basic Grants while under Perkins II only 75 percent of the funds went to the local level with the two state set-asides.

Services may be provided in conjunction with other service providers as locally determined. However, the local Five-Year Basic Grant plan must provide information on how services are provided to the special populations. In addition, one of the four Core Indicators of Performance documents student participation in and completion of vocational and technical education programs that lead to nontraditional training and employment.

## **OTHER PERMISSIVE ACTIVITY**

Number 15 of the permissive activities under Perkins III has been included in the Five-Year State Plan and reads "to support other vocational and technical education activities that are consistent with the purpose of this act."

## **EXPANDED PERMISSIVE ACTIVITY**

In the Five-Year State Plan, apprenticeship has been added to the permissive activity "to provide work-related experience, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to vocational and technical education programs."

## **CORE INDICATORS OF PERFORMANCE**

### *Summary of Testimony*

Postsecondary institutions may have incomplete data on special populations due to self-reporting, which could lead to inaccurate conclusions.

Educationally disadvantaged students are a high percentage of the postsecondary population served and should be included as a special population.

The Core Indicators of Performance Levels of Performance should be lowered to more realistic levels.

the criterion for achievement to meet postsecondary degree requirements as measured by GPA has long been 2.0/4.0. The Indicators for postsecondary academic attainment should be changed from 2.5/4.0 GPA to 2.0/4.0. The Indicator for cumulative GPA is an inappropriate measure of vocational educational success.

Concerning the Completion Indicator for postsecondary education, maintaining contact with students to enable follow-up studies after six years becomes exceedingly difficult. It is recommended that degree completion for associate degree students be measured after three years instead of six years, with an appropriate adjustment made in the proposed level of performance.

Concerning the Completion Indicator for secondary education, the high school graduation rate percentage of 92 percent as a Core Indicator is a concern. It is recommended that we be more cautious and continue 85 percent until more is known about the impact of ISTEP+ on graduation.

Core Indicators should be higher for attaining Certificates of Technical Achievement and occupational skills. However, the State should also recognize all certificates and license opportunities as valid indicators of achievement. The Core Indicators for attaining certification should be higher due to our direct control of competency gain.

ISTEP+ and GPA should be viewed in terms of improvement and not attainment. Because vocational and technical education has direct control and impact on occupational curriculum standards, benchmarks, and outcomes, it is appropriate and necessary to hold vocational education accountable for individual student occupational skill attainment. Vocational Education

does not have direct control over academic outcomes, such as GPA, ISTEP success, and graduation.

Response

In reviewing the testimony received, the following changes were made to the Core Indicators of Performance:

Attainment:

- Baseline will be set in FY00
- Remains the same
- Raised to 70% from 58%
- Raised to 90% from 87% and changed from 2.5 GPA to 2.0 GPA
- Remains the same
- Raised to 70% from 58%

Completion:

- Lowered to 85% from 92%
- Lowered to 25% from 31% and changed from 6 years to 3 years

Placement:

- Lowered to 75% from 80%
- Lowered to 83% from 88%

Equity:

- Raised to 5% from 4%
- Raised to 3% from 2%
- Raised to 8% from 7%
- Raised to 2% from .6%

The above changes reflect recommendations to adjust the occupational skill percentages upward and to adjust other Indicators to more realistic levels. The recommendations on Attainment and Completion to adjust the details of the Indicators for postsecondary institutions are also included. A baseline for ISTEP+ success in secondary education will be set in FY00. The notes for the Core Indicators of Performance are revised to reflect recommendations made. New language is in *Italics* and includes the following:

Reasonable effort should be made to report data by the special populations listed below:

- a. Individuals with disabilities
- b. Individuals from economically disadvantaged families, including foster children
- c. Individuals preparing for nontraditional training and employment
- d. Single parents, including single pregnant women
- e. Displaced homemakers
- f. Individuals with other barriers to educational achievement, including individuals with limited English Proficiency

Individuals with other barriers to educational achievement should include students with educational disadvantages, and should be distinguished from other categories when reporting data, including individuals with limited English proficiency.

Individualized Education Plans (IEPs) should be followed. If a student, as outlined in an IEP, is exempt from some aspects of the Core Indicators of Performance, the student should not be included in the calculations for that specific Core Indicator of Performance.

The Perkins III law included the academic attainment of vocational students as part of the Core Indicators of Performance requirements. Specifically, the law defines attainment as "student attainment of challenging State established academic, and vocational and technical, skill proficiencies." For the secondary level, Indiana has established the ISTEP+ program as the academic proficiencies. For the postsecondary level, the challenge to measure academic attainment is must greater. Until a better measure can be found, GPA will be used. The language in Perkins III, different from perkins II, is attainment and not gain.

The Core Indicators of Performance are set for the first two years of Perkins III. Before the third year, the Indicators will be reviewed and adjusted accordingly.

## APPENDIX B

## **Objections and Comments from State Agencies**

Objections and comments were received from only one state agency: Indiana Department of Education. The following attached memorandum contains their objections and comments concerning the proposed omission of Family and Consumer Sciences (FACS) as a "permissive use" for local Basic Grant funds under Perkins III.

### Written Objections and Comments

A summary of eight points received in fax correspondence from the Indiana Department of Education for why FACS should be listed as a "permissive activity" for local Basic Grant Plans is provided below:

- 1) The Perkins III definition of vocational and technical education is inclusive of FACS programs.
- 2) FACS courses are designed to teach competencies that ALL students will need to succeed, both as workers and as members of communities.
- 3) FACS courses play a major role in providing courses that enhance the rest of vocational education.
- 4) Students take a "logical sequence of courses" to build their career-related vocational/occupational skills as well as their more generic "workplace" skills.
- 5) Every FACS course is a critical component of the "logical sequence of courses" for one or more of the Indiana Career Cluster as listed by the Indiana Department of Education.
- 6) FACS courses help prepare students for such areas as the food service industry and the child care/early childhood industry.
- 7) FACS creates a logical sequence of courses which develop marketable knowledge and skills upon which to build in areas such as the food industry and hospitality occupations, early childhood occupations, nutrition and wellness occupations, and human services occupations.
- 8) FACS has a long-standing tradition as an integral part of vocational education in Indiana.

### Response

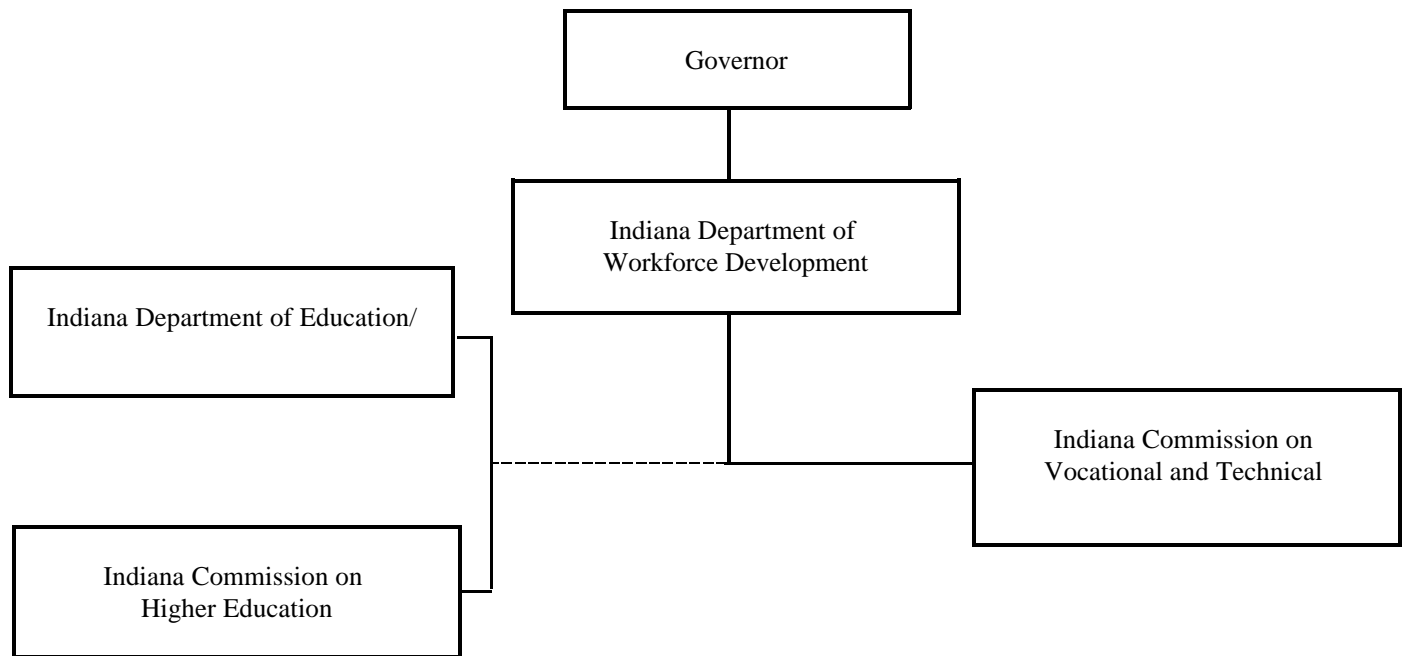
In reviewing the Perkins III definition of vocational and technical education, previous use of federal Perkins II funds for Family and Consumer Science Programs, required uses of local Basic Grant dollars, and input from the Public Hearings, FACS is included in the Five-Year State Plan as a "permissive activity."

Please note that local Basic Grant dollars may be used to provide professional development for

FACS teachers as well as serving special populations in FACS programs.

Under Perkins III, any funds used for FACS programs must meet the Core Indicators of Performance and lead towards high skill, high demand career pathways.

## APPENDIX C - State Governance Structure



\*\*\* Notes: Under Indiana's Five-Year State Plan, Perkins III Basic Grant funds for secondary flow from IDWD to IDOE; Basic Grant funds for postsecondary flow from IDWD to ICHE for distribution to the local level; and funds for correctional institutions flow from IDWD to IDOC in accordance with ICVTE-approved local plans.

## APPENDIX D

### **Five-Year Local Basic Grant Applications**

#### **1. Review Criteria**

Local Plan applications will be approved if they 1) clearly addresses each of the required uses of local funds, including how they will improve the academic and technical skills of students in vocational and technical education programs, provide strong experience in and understanding of all aspects of an industry, and ensure students are taught to the same challenging academic proficiencies as are taught for all other students; 2) target high skill, high demand career pathways; 3) address how they meet the Core Indicators of Performance; 4) use input from identified groups in the development, implementation and evaluation of programs; 5) sign-off on all assurances, 6) independently evaluate and continuously improve their performance as an eligible recipient; 7) overcome barriers encountered by special populations; 8) provide non-discrimination of special populations; 9) prepare students for nontraditional training and employment; and 10) provide comprehensive professional development.

#### **2. Approval Process**

The Indiana Department of Education and Indiana Commission for Higher Education review and make recommendations on the Local Plans from respective eligible recipients based upon the State Plan and Review Criteria to the Technical Education staff of the Indiana Department of Workforce Development who summary final recommendations for action by the ICVTE.



**Area Vocational District**

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Name

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Number

**AREA VOCATIONAL DISTRICT  
FIVE-YEAR  
LOCAL BASIC GRANT APPLICATION**

Due: April 30, 1999

**INDIANA COMMISSION ON VOCATIONAL AND TECHNICAL EDUCATION  
FOR USE OF FUNDS ALLOCATED UNDER THE  
CARL D. PERKINS VOCATIONAL AND APPLIED TECHNOLOGY EDUCATION ACT OF 1998  
For the period of FY 00-04 (July 1, 1999 through June 30, 2004)**

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## TRANSMITTAL COVER LETTER

The five-year period of the Local Basic Grant Application begins July 1, 1999 and extends through June 30, 2004. While the Application must describe programs, services and activities which will occur over the next five years, **only projected expenditures for FY00 need to be submitted in the "Budget Summary" section. The second year budget will be submitted along with any amendments to this Application.**

During the above time period, the eligible recipient will act in accordance with the submitted Local Basic Grant Application, including the assurances and certifications. The recipient shall abide by all state and federal regulations. The Local Basic Grant Application is effective when signed and dated by the recipient and approved by the Indiana Commission on Vocational and Technical Education. It may be modified by mutual agreement. The eligible recipient hereby assures, certifies and agrees to operate and perform the programs in the Local Basic Grant Application in accordance with all the terms and conditions of this Application and criteria affecting such programs. The signature of the authorized administrator of the eligible recipient on this form assures and certifies that specific information detailed in the Local Basic Grant Application and attachments are current, accurate, and complete.

Name of Eligible Recipient: \_\_\_\_\_

Workforce Partnership Region #: \_\_\_\_\_ ER #: \_\_\_\_\_ Federal ID #: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Telephone: \_\_\_\_\_ FAX: \_\_\_\_\_

E-mail Address: \_\_\_\_\_ Area Vocational District #: \_\_\_\_\_

Name of Area Vocational Director: \_\_\_\_\_

Signature of Area Vocational Director: \_\_\_\_\_

Name of Chief Administrator: \_\_\_\_\_ Title: \_\_\_\_\_

Signature of Chief Administrator: \_\_\_\_\_

Date: \_\_\_\_\_

Approved by ICVTE \_\_\_\_\_  
(date)

\_\_\_\_\_  
Terry R. Fields  
State Director of Vocational and Technical Education  
Commission on Vocational and Technical Education  
Indiana Department of Workforce Development

## **SECTION I: ASSURANCES, COMPLAINT PROCEDURES AND EDGAR CERTIFICATION**

### **A. Assurances**

The eligible recipient assures:

1. that it will comply with the privacy protections afforded parents and students under section 444 of the General Education Rights and Privacy Act of 1974 (section 513 of Public Law 93-380; 88 Stat. 571). [Sec. 5]
2. that it will not transfer or utilize funds under this Act to provide funding under the School-to-Work Opportunities Act of 1994 or to carry out, through programs funded under this Act, activities that were funded under the School-to-Work Opportunities Act of 1994, unless the programs under this Act serve only those participants eligible to participate in the programs under this Act. [Sec. 6]
3. that the vocational and technical education programs required under section 135(b) will be carried out with funds received under Title I. [Sec. 134(b)(1)]
4. that it will meet the State adjusted levels of performance established under section 113. [Sec. 134(b)(3)]
5. that it will ensure that students who participate in such vocational and technical education programs are taught to the same challenging academic proficiencies as are taught for all other students. [Section 134(b)(3)(C)]
6. that parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations, and other interested individuals are involved in the development, implementation and evaluation of vocational and technical education programs assisted under Title I. [Sec. 134(b)(4)]
7. that it will provide a vocational and technical education program that is of such size, scope, and quality to bring about improvement in the quality of vocational and technical education programs. [Sec. 134(b)(5)]
8. that it will provide programs that are designed to enable the special populations to meet the State adjusted levels of performance. [Sec. 134(b)(7)(B)]
9. that it will not discriminate against individuals who are members of special populations on the basis of their status as members of the special populations. [Sec. 134(b)(8)]
10. that comprehensive professional development (including initial teacher preparation) for vocational and technical, academic, guidance, and administrative personnel will be provided. [Sec. 134(b)(10)]
11. that funds made available under this Act shall supplement and shall not supplant non-Federal funds expended to carry out vocational and technical education activities and tech prep activities. [Sec. 311(a)]
12. that it will provide maintenance of fiscal effort on either a per student or aggregate expenditure basis. [Sec. 311(b)(1)(A)]
13. that no funds shall be used to require any secondary school student to choose or pursue a specific career path or major. [Sec. 314(1)]
14. that it will not use funds made available under this Act to mandate that any individual participate in a vocational and technical education program, including a vocational and technical education program

that requires the attainment of a federally funded skill level, standard, or certificate of mastery. [Sec. 314(2)]

15. that will not use funds received under this Act to provide vocational and technical education programs to students prior to the seventh grade. [Sec. 315]
16. that it will not discriminate on the basis of race, color, sex, national origin, age, or disability in the provision of services under this Act. [Sec. 316]
17. that it will permit vocational and technical education teachers, administrators, and other personnel in nonprofit private schools offering vocational and technical education programs located in the geographical area served by the eligible recipient, to participate in inservice and preservice vocational and technical education professional development programs provided under this Act. [Sec.318]
18. that it will not use funds for the purpose of directly providing incentives or inducements to an employer to relocate a business enterprise from one State to another State if such relocation will result in a reduction in the number of jobs available in the State where the business enterprise is located before such incentives or inducements are offered. [Sec. 322]
19. the portion of any student financial assistance received under this Act that is made available for attendance costs described in subsection (b) shall not be considered as income or resources in determining eligibility for assistance under any other program funded in whole or in part with Federal funds. [Sec. 325(a)]
20. that it will use funds made available under this Act to pay for costs of vocational and technical education services required in an individualized education plan developed pursuant to section 614(d) of the Individuals with Disabilities Education Act and services necessary to the requirements of section 504 of the Rehabilitation Act of 1973 with respect to ensuring equal access to vocational and technical education. [Sec. 325(c)]
21. that it will not use more than five (5) percent (%) of funds received under Title I as a result of this grant application for administrative costs. [State Requirement]
22. That when issuing statements, press releases, requests for proposals, bid solicitation, and other documents describing this project, the recipient shall clearly state: (1) the dollar amount of Federal funds for the project; and (2) the percentages of the total cost of the project that will be financed with Federal funds. [Stevens Amendment to Department of Defense Appropriations Act, Sec. 8136]

## **B. Complaint Procedures**

The following procedures are applicable for any complaint that a state agency or a subgrantee is violating Public Law 105-332 (Carl D. Perkins Vocational and Applied Technology Education Act of 1998), or regulation pertaining thereto.

1. Written and signed complaints may be filed with the Indiana Commission on Vocational and Technical Education (hereinafter called the Commission), by a subgrantee, organization, or an individual (hereinafter called the complainant).
2. The complaint must include: (a) a statement that a subgrantee or a state agency has violated a requirement of Public Law 105-332 or regulations that apply to the program; and, (b) the facts on which the statement is based.
3. As part of the complaint resolution process, the Commissioner or the Commission staff, if necessary, will carry out an independent on-site investigation.

4. Complaint investigation will be completed within sixty (60) calendar days after the Commission received the complaint; except that, if exceptional circumstances to a particular complaint exists, the Commission may extend the time limit.
5. If the Complainant is dissatisfied with the final action of the Commission with respect to the alleged violation, such complainant may, after such final action or notice thereto, file a petition for review of that action with the Secretary, U.S. Department of Education. If the complainant or the Commission disagrees with the decision of the Secretary of the U.S. Department of Education, either may appeal to a civil court with jurisdiction.

**C.      EDGAR Certifications**

The eligible recipient certifies and agrees:

1. The assurances and that the information provided in this Local Application are accurate and complete to the best of my knowledge.
2. Under penalties of perjury, that he or she is authorized to execute the certification required on behalf of the designated area vocational district.
3. By submission of this Application, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. Where the prospective participant shall attach an explanation to this Application [Education Department General Administrative Regulation, 34 CRF, Part 85, Subpart C,D,E, 1990]

**By acceptance of this grant, it is understood that the Grantee has agreed to the terms and conditions of the award as set forth here and included in Federal and State laws and regulations.**

**Furthermore, documentation related to the assurances and certifications will be maintained at the local level.**

Name of Eligible Recipient: \_\_\_\_\_

Name of Chief Administrator: \_\_\_\_\_ Area Vocational District #: \_\_\_\_\_

Signature of Chief Administrator: \_\_\_\_\_

Date: \_\_\_\_\_

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## **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions for Lobbying," and 34 CFR Part 85, Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

### **LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement

rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

---

### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph

(a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)



**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85-605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion - Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

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**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to

require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

## Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT _____
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## DISCLOSURE OF LOBBYING ACTIVITIES Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C 1352

<b>1. Type of Federal Action:</b> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing <input type="checkbox"/> b. material change  <b>For Material Change Only:</b> year _____ quarter _____ date of last report		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px; vertical-align: top;"> <b>4. Name and Address of Report Entity:</b>  Subawardee <input type="checkbox"/>  Tier _____ Prime <input type="checkbox"/>  Congressional District if known: _____ </td> <td style="width: 50%; padding: 5px; vertical-align: top;"> <b>5. If Reporting Entity in No. 4 is Subawardee. Enter Name and Address of Prime:</b>    Congressional District if known: _____ </td> </tr> </table>			<b>4. Name and Address of Report Entity:</b> Subawardee <input type="checkbox"/> Tier _____ Prime <input type="checkbox"/> Congressional District if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee. Enter Name and Address of Prime:</b>  Congressional District if known: _____
<b>4. Name and Address of Report Entity:</b> Subawardee <input type="checkbox"/> Tier _____ Prime <input type="checkbox"/> Congressional District if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee. Enter Name and Address of Prime:</b>  Congressional District if known: _____			
<b>6. Federal Department/Agency</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____			
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$			
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>			

<p>11. Information request through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature:</p> <p>Print Name:</p> <p>Title:</p> <p>Telephone:</p> <p>Date:</p>
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

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## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- . Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- . Identify the status of the covered Federal action.
- . Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- . Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- . If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- . Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- . Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- . Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-OOI."
- . For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- . (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal "11" action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- . The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

## SECTION II: THE PLANNING PROCESS

### A. An Overview

1. Describe how parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations, and other interested individuals are involved in the development, implementation, and evaluation of vocational and technical education programs, services, and activities described on the following pages, and how such individuals and entities are effectively informed about, and assisted in understanding, the requirements of this funding. [Sec. 134(b)(4)]
2. Describe how quality vocational and technical education programs that lead toward high skill, high wage career pathways will be initiated, improved, expanded, and modernized with funds received. [Sec. 134(b)(1)]
3. Describe how local programs will improve the academic and technical skills of students participating in vocational and technical programs by strengthening the academic, vocational and technical components of these programs through the integration of academics with vocational and technical education programs, through a coherent sequence of courses to ensure learning in the core academic, and vocational and technical, subjects. [Sec. 134(b)(3)(A)]

4. Describe how local programs will provide students with strong experiences in and understanding of all aspects of an industry that lead toward high skill, high wage career pathways. [Sec. 134(b)(3)(B)]
5. Describe how the vocational and technical education activities will be carried out to meet State-adjusted levels of performance. [Sec. 134(b)(2)]

## B. Labor Market Information

1. Briefly describe the basic demographic data, labor market trends, and general economic conditions of the area vocational district and employment area.
2. Summarize the significant needs identified by the area district as emerging from the above analysis.



**C. Special Populations**

**Respond to the following questions in a general sense. More detail may be given when describing specific programs/services/activities.**

1. Describe how vocational and technical education programs will be reviewed, and strategies identified and adopted to overcome barriers that result in lowering rates of access to or lowering success in the programs for special populations. [Sec. 134(b)(7)(A)]
  
  
  
  
  
  
  
  
  
  
2. Describe how programs will be designed to enable special populations to meet the State-adjusted levels of performance. [Sec. 134 (b) (7)]
  
  
  
  
  
  
  
  
  
  
3. Describe how individuals who are members of the special populations will not be discriminated against on the basis of their status as members of the special populations. [Sec. 134 (b) (9)]
  
  
  
  
  
  
  
  
  
  
4. Describe how funds will be used to promote preparation for nontraditional training and employment. [Sec. 134 (b) (9)]

**SECTION III: IDENTIFICATION OF VOCATIONAL PROGRAMS, SERVICES  
AND ACTIVITIES TO BE SUPPORTED WITH FEDERAL FUNDS**

**A. Identification of Needs**

List the FY00 through FY04 needs for addition/improvement/expansion of vocational education programs, services, and activities (p/s/a). Indicate the year(s) in which funds will be spent to address these needs. In addition, provide the justification from the planning process section. List may include more needs than can be met with available federal Perkins Act funds.

<u>List of needs</u>	<u>Justification from Planning Process*</u>	<u>Year(s) funds will be spent</u>
----------------------	---	--

\* May list more than one justification. Examples are demographic information, labor market information, general economic conditions, special populations, other (please describe).

## B. Basic Grant - Program/Service/Activity Outline

Complete the following outline for EACH program/service/activity (p/s/a) which will be funded with Perkins dollars over the next five years. Duplicate the pages (**providing sequential page numbers**) as needed so that a separate outline is submitted for each p/s/a.

1. EACH p/s/a should address one or more needs identified in Section III and must be of sufficient scope, size, and quality as to be effective in leading toward high skill, high wage career pathways.

Needs Addressed: \_\_\_\_\_

### New Requirements:

2. EACH p/s/a also must address one or more of the required uses of local funds and ALL required uses of local funds must be addressed in at least one p/s/a. **Table I** (in Appendices) lists all required uses of local funds.

Required Uses of Local Funds: (Indicate use #(s) from Table I): \_\_\_\_\_

3. Once you have identified how you will address ALL required uses, please refer to **Table II** (in Appendices) for the permissive uses of local funds that may be addressed by each p/s/a.

Permissive Uses of Local Funds: (Indicate use #(s) from Table II): \_\_\_\_\_

School Year(s) During Which This P/S/A Will Be Implemented:

**1999-2000**

**2000-01**

**2001-02**

**2002-03**

**2003-04**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Site(s) Where P/S/A Will Be Implemented:

\_\_\_\_\_

Position of Person(s) Responsible for Monitoring:

\_\_\_\_\_

Narrative Description of P/S/A:



Measurable Objectives/Outcomes of the P/S/A:

(Measurable objectives must be stated in terms which clearly identify who, what, by when, and/or how many people/students.)

Activities: Explain how activities will be provided that strengthen the academic, and vocational and technical skill of students that lead towards high skill, high wage career pathways. (Activities should accomplish the measurable objectives.)

Evaluation of Objectives:

(Describe methods that will provide information that demonstrates the degree of success in completing measurable objectives.)

## **SECTION IV: BASIC GRANT P/S/A BUDGET FOR FY00 BY CATEGORY**

**Provide budget detail for each p/s/a which will be funded with Perkins dollars.** Duplicate this page so that a budget is submitted for each p/s/a.

### **New Requirements:**

Required Uses of Local Funds: (Indicate use #(s) from Table I):

\_\_\_\_\_

Permissive Uses of Local Funds: (Indicate use #(s) from Table II):

\_\_\_\_\_

### CATEGORIES

### FEDERAL FUNDS

1. Administration (5% maximum)
2. Personnel
3. Fringe Benefits
4. Staff Travel
5. Contractual Services
6. Equipment
7. Materials, Supplies, & Communication
8. Other, please specify

**Total**



## **SECTION V: SUMMARY OF BASIC GRANT BUDGET FOR FY00 BY CATEGORY**

**Provide a budget summary by category compiled from each p/s/a.**

### **CATEGORIES**

### **FEDERAL FUNDS**

1. Administration (5% maximum)
2. Personnel
3. Fringe Benefits
4. Staff Travel
5. Contractual Services
6. Equipment
7. Materials, Supplies, & Communication
8. Other, please specify

**Total**



## APPENDICES

**Table I:**      **Required Uses of Perkins Funds [Sec. 135(b)]**--Funds made available to eligible recipients under this part shall be used to support vocational and technical education programs leading towards high skill, high demand career pathways that--

- (1) strengthen the academic, and vocational and technical, skills of students participating in vocational and technical education programs by strengthening the academic, and vocational and technical, components of such programs through the integration of academics with vocational and technical education programs through a coherent sequence of courses to ensure learning in the core academic, and vocational and technical, subjects;
- (2) provide students with strong experience in and understanding of all aspects of an industry;
- (3) develop, improve, or expand the use of technology in vocational and technical education, which may include—
  - (A) training of vocational and technical education personnel to use state-of-the-art technology, which may include distance learning;
  - (B) providing vocational and technical education students with the academic, and vocational and technical, skills that lead to entry into the high technology and telecommunications fields; or
  - (C) encouraging schools to work with high technology industries to offer voluntary internships and mentoring programs;
- (4) provide professional development programs to teachers, counselors, and administrators, including-
  - (A) inservice and preservice training in state-of-the-art vocational and technical education programs and techniques, in effective teaching skills based on research, and in effective practices to improve parental and community involvement;
  - (B) support of education programs for teachers of vocational and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to vocational and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;
  - (C) internship programs that provide business experience to teachers; and
  - (D) programs designed to train teachers specifically in the use and application of technology;
- (5) develop and implement evaluations of the vocational and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;
- (6) initiate, improve, expand, and modernize quality vocational and technical education programs;
- (7) provide services and activities that are of sufficient size, scope, and quality to be effective; and
- (8) link secondary vocational and technical education and postsecondary vocational and technical education, including implementing tech-prep programs.

**Table II: Permissive Uses of Perkins Funds [Sec. 135(c)]**--Funds made available to an eligible recipient under this title may be used in preparation for high skill, high demand career pathways--

- (1) to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of vocational and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
- (2) to provide career guidance and academic counseling for students participating in vocational and technical education programs;
- (3) to provide work-related experience, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to vocational and technical education programs;
- (4) to provide programs for special populations;
- (5) for local education and business partnerships;
- (6) to assist vocational and technical student organizations;
- (7) for mentoring and support services;
- (8) to provide for leasing, purchasing, upgrading or adapting equipment, including instructional aides. [At least thirty (30) percent (%) of any equipment funds under the Local Basic Grant dollars must be used for programs that lead towards high skill, high demand career pathways.]
- (9) for teacher preparation programs that assist individuals who are interested in becoming vocational and technical education instructors, including individuals with experience in business and industry;
- (10) for improving or developing new vocational and technical education courses;
- (11) to provide support for family and consumer sciences programs. [Therefore, any Five-year Local Plan that uses funds for family and consumer sciences programs must meet the Core Indicators of Performance and lead towards high skill, high demand career pathways.]
- (12) to provide vocational and technical education programs for adults and school dropouts to complete their secondary school education;
- (13) to provide assistance to students who have participated in services and activities under this title in finding an appropriate job and continuing their education;
- (14) to support nontraditional training and employment activities; and
- (15) to support other vocational and technical education activities that are consistent with the purpose of this Act.

**Table III: Professional Development Programs--OPTIONAL WORKING DOCUMENT**

**Describe how each of the following types of comprehensive professional development will be provided for each group of staff persons.**

1. Inservice and preservice training in state-of-the-art vocational and technical education programs and techniques, in effective teaching skills based on research, and in effective practices to improve parental and community involvement [Sec. 135(b)(4)(A)]
  - teachers
  - counselors
  - administrators
2. Support of education programs for teachers of vocational and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to vocational and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry [Sec. 135(b)(4)(B)]
  - teachers
  - paraprofessionals/instructional assistants
3. Internship programs that provide business experience to teachers [Sec. 135(b)(4)(C)]
  - teachers
4. Programs designed to train teachers specifically in the use and application of technology [Sec.(b)(4)(D)]
  - teachers



**Table IV: CORE INDICATORS**

**1. Attainment**

Student attainment of challenging State established academic, and vocational and technical, skill proficiencies.

- a. Percentage of secondary students who complete vocational and technical education programs and pass the ISTEP+ Graduation Qualifying Exam for academic skills.

LEVEL OF PERFORMANCE Baseline to be set in FY00

- b. Percentage of secondary students who are enrolled in a program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE 20%

- c. Percentage of secondary students who complete a vocational and technical education program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE 70%

- d. Percentage of postsecondary students who complete occupationally specific programs and have a cumulative grade point average of 2.5 / 4.0 or better.

LEVEL OF PERFORMANCE 90%

- e. Percentage of postsecondary students who are enrolled in an occupationally specific program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE 20%

- f. Percentage of postsecondary students who complete an occupationally specific program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE 70%

**2. Completion**

Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma, or a postsecondary degree or credential.

- a. Percentage of secondary students who complete vocational and technical education programs and attain a high school diploma or its recognized equivalent.

LEVEL OF PERFORMANCE 85%

- b. Percentage of postsecondary students who enroll in occupationally specific programs as degree-seeking students and attain a postsecondary degree or credential within three years.

LEVEL OF PERFORMANCE 20%

**3. Placement**

Placement in, retention in, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment.

- a. Percentage of secondary students who complete vocational and technical education programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE 75%

- b. Percentage of postsecondary students who complete occupationally specific programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE 83%

**4. Equity**

Student participation in and completion of vocational and technical education programs that lead to nontraditional training and employment.

- a. Percentage of secondary students participating in vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 5%

- b. Percentage of secondary students completing vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 3%

- c. Percentage of postsecondary students participating in occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 10%

- d. Percentage of postsecondary students completing occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 2%

## 2. Postsecondary





**Department of Correction**

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Name

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Number

**DEPARTMENT OF CORRECTION**

**FIVE-YEAR**

**LOCAL BASIC GRANT APPLICATION**

Due: April 30, 1999

**INDIANA COMMISSION ON VOCATIONAL AND TECHNICAL EDUCATION**

**FOR USE OF FUNDS ALLOCATED UNDER THE**

**CARL D. PERKINS VOCATIONAL AND APPLIED TECHNOLOGY EDUCATION ACT OF 1998**

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## TRANSMITTAL COVER LETTER

The five-year period of the Local Basic Grant Application begins July 1, 1999 and extends through June 30, 2004. While the Application must describe programs, services and activities which will occur over the next five years, **only projected expenditures for FY00 need to be submitted in the "Budget Summary" section. The second year budget will be submitted along with any amendments to this Application.**

During the above time period, the eligible recipient will act in accordance with the submitted Local Basic Grant Application, including the assurances and certifications. The recipient shall abide by all state and federal regulations. The Local Basic Grant Application is effective when signed and dated by the recipient and approved by the Indiana Commission on Vocational and Technical Education. It may be modified by mutual agreement. The eligible recipient hereby assures, certifies and agrees to operate and perform the programs in the Local Basic Grant Application in accordance with all the terms and conditions of this Application and criteria affecting such programs. The signature of the authorized administrator of the eligible recipient on this form assures and certifies that specific information detailed in the Local Basic Grant Application and attachments are current, accurate, and complete.

Department of Correction

Mailing Address: \_\_\_\_\_

Contact Person: Title: \_\_\_\_\_

Telephone:FAX: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Name of Chief Administrator:Title: \_\_\_\_\_

Signature of Chief Administrator: \_\_\_\_\_

Date: \_\_\_\_\_

Approved by ICVTE \_\_\_\_\_  
(date)

\_\_\_\_\_  
Terry R. Fields  
State Director of Vocational and Technical Education  
Commission on Vocational and Technical Education  
Indiana Department of Workforce Development

## **SECTION I: ASSURANCES, COMPLAINT PROCEDURES AND EDGAR CERTIFICATION**

### **A. Assurances**

The Department of Correction assures:

1. that it will comply with the privacy protections afforded parents and students under section 444 of the General Education Rights and Privacy Act of 1974 (section 513 of Public Law 93-380; 88 Stat. 571). [Sec. 5]
2. that it will not transfer or utilize funds under this Act to provide funding under the School-to-Work Opportunities Act of 1994 or to carry out, through programs funded under this Act, activities that were funded under the School-to-Work Opportunities Act of 1994, unless the programs under this Act serve only those participants eligible to participate in the programs under this Act. [Sec. 6]
3. that the vocational and technical education programs required under section 135(b) will be carried out with funds received under Title I. [Sec. 134(b)(1)]
4. that it will meet the State adjusted levels of performance established under section 113. [Sec. 134(b)(3)]
5. that it will ensure that students who participate in such vocational and technical education programs are taught to the same challenging academic proficiencies as are taught for all other students. [Section 134(b)(3)(C)]
6. that parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations, and other interested individuals are involved in the development, implementation and evaluation of vocational and technical education programs assisted under Title I. [Sec. 134(b)(4)]
7. that it will provide a vocational and technical education program that is of such size, scope, and quality to bring about improvement in the quality of vocational and technical education programs. [Sec. 134(b)(5)]
8. that it will provide programs that are designed to enable the special populations to meet the State adjusted levels of performance. [Sec. 134(b)(7)(B)]
9. that it will not discriminate against individuals who are members of special populations on the basis of their status as members of the special populations. [Sec. 134(b)(8)]
10. that comprehensive professional development (including initial teacher preparation) for vocational and technical, academic, guidance, and administrative personnel will be provided. [Sec. 134(b)(10)]
11. that it will not use more than five (5) percent (%) of funds received under Title I as a result of this grant application for administrative costs. [Sec. 135(d)]
12. that funds made available under this Act shall supplement and shall not supplant non-Federal funds expended to carry out vocational and technical education activities and tech prep activities. [Sec. 311(a)]
13. that it will provide maintenance of fiscal effort on either a per student or aggregate expenditure basis. [Sec. 311(b)(1)(A)]
14. that no funds shall be used to require any secondary school student to choose or pursue a specific career path or major. [Sec. 314(1)]
15. that it will not use funds made available under this Act to mandate that any individual participate in a vocational and technical education program, including a vocational and technical education program that requires the attainment of a federally funded skill level, standard, or certificate of mastery. [Sec. 314(2)]

16. that it will not discriminate on the basis of race, color, sex, national origin, age, or disability in the provision of services under this Act. [Sec. 316]
17. that it will not use funds for the purpose of directly providing incentives or inducements to an employer to relocate a business enterprise from one State to another State if such relocation will result in a reduction in the number of jobs available in the State where the business enterprise is located before such incentives or inducements are offered. [Sec. 322]
18. that it will use funds made available under this Act to pay for costs of vocational and technical education services required in an individualized education plan developed pursuant to section 614(d) of the Individuals with Disabilities Education Act and services necessary to the requirements of section 504 of the Rehabilitation Act of 1973 with respect to ensuring equal access to vocational and technical education. [Sec. 325(c)]
19. That when issuing statements, press releases, requests for proposals, bid solicitation, and other documents describing this project, the recipient shall clearly state: (1) the dollar amount of Federal funds for the project; and (2) the percentages of the total cost of the project that will be financed with Federal funds. [Stevens Amendment to Department of Defense Appropriations Act, Sec. 8136]

## **B. Complaint Procedures**

The following procedures are applicable for any complaint that a state agency or a subgrantee is violating Public Law 105-332 (Carl D. Perkins Vocational and Applied Technology Education Act of 1998), or regulation pertaining thereto.

1. Written and signed complaints may be filed with the Indiana Commission on Vocational and Technical Education (hereinafter called the Commission), by a subgrantee, organization, or an individual (hereinafter called the complainant).
2. The complaint must include: (a) a statement that a subgrantee or a state agency has violated a requirement of Public Law 105-332 or regulations that apply to the program; and, (b) the facts on which the statement is based.
3. As part of the complaint resolution process, the Commissioner or the Commission staff, if necessary, will carry out an independent on-site investigation.
4. Complaint investigation will be completed within sixty (60) calendar days after the Commission received the complaint; except that, if exceptional circumstances to a particular complaint exists, the Commission may extend the time limit.
5. If the Complainant is dissatisfied with the final action of the Commission with respect to the alleged violation, such complainant may, after such final action or notice thereto, file a petition for review of that action with the Secretary, U.S. Department of Education. If the complainant or the Commission disagrees with the decision of the Secretary of the U.S. Department of Education, either may appeal to a civil court with jurisdiction.

## **C. EDGAR Certifications**

The Department of Correction certifies and agrees:

1. The assurances and that the information provided in this Local Application are accurate and complete to the best of my knowledge.
2. Under penalties of perjury, that he or she is authorized to execute the certification required on behalf of the designated area vocational district.
3. By submission of this Application, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. Where the prospective participant shall attach an explanation to this Application [Education Department General Administrative Regulation, 34 CFR, Part 85, Subpart C,D,E, 1990]

**By acceptance of this grant, it is understood that the Grantee has agreed to the terms and conditions of the award as set forth here and included in Federal and State laws and regulations.**

**Furthermore, documentation related to the assurances and certifications will be maintained at the local level.**

Department of Correction

Name of Chief Administrator: \_\_\_\_\_

Signature of Chief Administrator: \_\_\_\_\_

Date: \_\_\_\_\_

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## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions for Lobbying," and 34 CFR Part 85, Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

### LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this

application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

---

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph

(a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the ~~requirements of the Rehabilitation Act of 1973, as amended, or~~

~~(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;~~

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)



**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85-605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Check [ ] if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion - Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

## Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal. \_\_\_\_\_

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT _____
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## DISCLOSURE OF LOBBYING ACTIVITIES Approved by OMB

0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C 1352

<b>1. Type of Federal Action:</b> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing <input type="checkbox"/> b. material change  <b>For Material Change Only:</b> year                      quarter date of last report
<b>4. Name and Address of Report Entity:</b> Subawardee Tier _____ of known:                      e <input type="checkbox"/> <b>Congressional District if known:</b>		<b>5. If Reporting Entity in No. 4 is Subawardee. Enter Name and Address of Prime:</b>   <b>Congressional District if known:</b>
<b>6. Federal Department/Agency</b>		<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____

<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different form No. 10a)</i> <i>(last name, first name, MI):</i>
<b>11. Information request through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b>  <b>Print Name:</b>  <b>Title:</b>  <b>Telephone:</b>  <b>Date:</b>
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

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## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- . Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- . Identify the status of the covered Federal action.
- . Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- . Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- . If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- . Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- . Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- . Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-OOI."
- . For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- . (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal "11" action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- . The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and

completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

## SECTION II: THE PLANNING PROCESS

### A. An Overview

1. Describe how parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations, and other interested individuals are involved in the development, implementation, and evaluation of vocational and technical education programs, services, and activities described on the following pages, and how such individuals and entities are effectively informed about, and assisted in understanding, the requirements of this funding. [Sec. 134(b)(4)]
2. Describe how quality vocational and technical education programs that lead toward high skill, high wage career pathways will be initiated, improved, expanded, and modernized with funds received. [Sec. 134(b)(1)]
3. Describe how local programs will improve the academic and technical skills of students participating in vocational and technical programs by strengthening the academic, vocational and technical components of these programs through the integration of academics with vocational and technical education programs, through a coherent sequence of courses to ensure learning in the core academic, and vocational and technical, subjects. [Sec. 134(b)(3)(A)]





4. Describe how local programs will provide students with strong experiences in and understanding of all aspects of an industry that lead toward high skill, high wage career pathways. [Sec. 134(b)(3)(B)]
5. Describe how the vocational and technical education activities will be carried out to meet State-adjusted levels of performance. [Sec. 134(b)(2)]



## B. Labor Market Information

1. Briefly describe the basic demographic data, labor market trends, and general economic conditions of the area vocational district and employment area.
2. Summarize the significant needs identified by the Department of Correction as emerging from the above analysis.

### C. Special Populations

**Respond to the following questions in a general sense. More detail may be given when describing specific programs/services/activities.**

1. Describe how vocational and technical education programs will be reviewed, and strategies identified and adopted to overcome barriers that result in lowering rates of access to or lowering success in the programs for special populations. [Sec. 134(b)(7)(A)]
2. Describe how programs will be designed to enable special populations to meet the State-adjusted levels of performance. [Sec. 134 (b) (7)]
3. Describe how individuals who are members of the special populations will not be discriminated against on the basis of their status as members of the special populations. [Sec. 134 (b) (9)]
4. Describe how funds will be used to promote preparation for nontraditional training and employment. [Sec. 134 (b) (9)]



**SECTION III: IDENTIFICATION OF VOCATIONAL PROGRAMS, SERVICES  
AND ACTIVITIES TO BE SUPPORTED WITH FEDERAL FUNDS**

**A. Identification of Needs**

List the FY00 through FY04 needs for addition/improvement/expansion of vocational education programs, services, and activities (p/s/a). Indicate the year(s) in which funds will be spent to address these needs. In addition, provide the justification from the planning process section. List may include more needs than can be met with available federal Perkins Act funds.

<u>List of needs</u>	<u>Justification from Planning Process*</u>	<u>Year(s)funds will be spent</u>
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\* May list more than one justification. Examples are demographic information, labor market information, general economic conditions, special populations, other (please describe).

## B. Basic Grant - Program/Service/Activity Outline

Complete the following outline for EACH program/service/activity (p/s/a) which will be funded with Perkins dollars over the next five years. Duplicate the pages (**providing sequential page numbers**) as needed so that a separate outline is submitted for each p/s/a.

1. EACH p/s/a should address one or more needs identified in Section III and must be of sufficient scope, size, and quality as to be effective in leading toward high skill, high wage career pathways.

Needs Addressed: \_\_\_\_\_

### New Requirements:

2. EACH p/s/a also must address one or more of the required uses of local funds and ALL required uses of local funds must be addressed in at least one p/s/a. **Table I** (in Appendices) lists all required uses of local funds.

Required Uses of Local Funds: (Indicate use #(s) from Table I): \_\_\_\_\_

3. Once you have identified how you will address ALL required uses, please refer to **Table II** (in Appendices) for the permissive uses of local funds that may be addressed by each p/s/a.

Permissive Uses of Local Funds: (Indicate use #(s) from Table II): \_\_\_\_\_

School Year(s) During Which This P/S/A Will Be Implemented:

**1999-2000**

**2000-01**

**2001-02**

**2002-03**

**2003-04**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Site(s) Where P/S/A Will Be Implemented:

\_\_\_\_\_

Position of Person(s) Responsible for Monitoring:

\_\_\_\_\_

Narrative Description of P/S/A:





Measurable Objectives/Outcomes of the P/S/A:

(Measurable objectives must be stated in terms which clearly identify who, what, by when, and/or how many people/students.)

Activities: Explain how activities will be provided that strengthen the academic, and vocational and technical skill of students that lead towards high skill, high wage career pathways. (Activities should accomplish the measurable objectives.)

Evaluation of Objectives:

(Describe methods that will provide information that demonstrates the degree of success in completing measurable objectives.)

## **SECTION IV: BASIC GRANT P/S/A BUDGET FOR FY00 BY CATEGORY**

**Provide budget detail for each p/s/a which will be funded with Perkins dollars.** Duplicate this page so that a budget is submitted for each p/s/a.

### **New Requirements:**

Required Uses of Local Funds: (Indicate use #(s) from Table I):

\_\_\_\_\_

Permissive Uses of Local Funds: (Indicate use #(s) from Table II):

\_\_\_\_\_

### CATEGORIES

### FEDERAL FUNDS

1. Administration (5% maximum)
2. Personnel
3. Fringe Benefits
4. Staff Travel
5. Contractual Services
6. Equipment
7. Materials, Supplies, & Communication
8. Other, please specify

**Total**



## **SECTION V: SUMMARY OF BASIC GRANT BUDGET FOR FY00 BY CATEGORY**

**Provide a budget summary by category compiled from each p/s/a.**

### **CATEGORIES**

### **FEDERAL FUNDS**

1. Administration (5% maximum)
2. Personnel
3. Fringe Benefits
4. Staff Travel
5. Contractual Services
6. Equipment
7. Materials, Supplies, & Communication
8. Other, please specify

**Total**

## APPENDICES

**Table I:**      **Required Uses of Perkins Funds [Sec. 135(b)]**--Funds made available to the Department of Correction under this part shall be used to support vocational and technical education programs leading towards high skill, high demand career pathways that--

- (1)      strengthen the academic, and vocational and technical, skills of students participating in vocational and technical education programs by strengthening the academic, and vocational and technical, components of such programs through the integration of academics with vocational and technical education programs through a coherent sequence of courses to ensure learning in the core academic, and vocational and technical, subjects;
- (2)      provide students with strong experience in and understanding of all aspects of an industry;
- (3)      develop, improve, or expand the use of technology in vocational and technical education, which may include—
  - (A)          training of vocational and technical education personnel to use state-of-the-art technology, which may include distance learning;
  - (B)          providing vocational and technical education students with the academic, and vocational and technical, skills that lead to entry into the high technology and telecommunications fields; or
  - (C)          encouraging schools to work with high technology industries to offer voluntary internships and mentoring programs;
- (4)      provide professional development programs to teachers, counselors, and administrators, including-
  - (A)          inservice and preservice training in state-of-the-art vocational and technical education programs and techniques, in effective teaching skills based on research, and in effective practices to improve parental and community involvement;
  - (B)          support of education programs for teachers of vocational and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to vocational and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;
  - (C)          internship programs that provide business experience to teachers; and
  - (D)          programs designed to train teachers specifically in the use and application of technology;
- (5)      develop and implement evaluations of the vocational and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;
- (6)      initiate, improve, expand, and modernize quality vocational and technical education programs;
- (7)      provide services and activities that are of sufficient size, scope, and quality to be effective; and
- (8)      link secondary vocational and technical education and postsecondary vocational and technical education, including implementing tech-prep programs.

**Table II: Permissive Uses of Perkins Funds [Sec. 135(c)]**--Funds make available to the Department of Correction under this title may be used in preparation for high skill, high demand career pathways--

- (1) to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of vocational and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
- (2) to provide career guidance and academic counseling for students participating in vocational and technical education programs;
- (3) to provide work-related experience, such as internships, cooperative education, school-based enterprises, entrepreneurship, apprenticeships, and job shadowing that are related to vocational and technical education programs;
- (4) to provide programs for special populations;
- (5) for local education and business partnerships;
- (6) to assist vocational and technical student organizations;
- (7) for mentoring and support services;
- (8) for leasing, purchasing, upgrading or adapting equipment, including instructional aides. [At least thirty (30) percent (%) of any equipment funds under the local Basic Grant dollars must be used for programs that lead towards high skill, high demand career pathways.]
- (9) for teacher preparation programs that assist individuals who are interested in becoming vocational and technical education instructors, including individuals with experience in business and industry;
- (10) for improving or developing new vocational and technical education courses;
- (11) to provide support for family and consumer sciences programs. [Therefore, any Five-year Local Plan that uses funds for family and consumer sciences programs must meet the Core Indicators of Performance and lead towards high skill, high demand career pathways.]
- (12) to provide vocational and technical education programs for adults and school dropouts to complete their secondary school education;
- (13) to provide assistance to students who have participated in services and activities under this title in finding an appropriate job and continuing their education;
- (14) to support nontraditional training and employment activities; and
- (15) to support other vocational and technical education activities that are consistent with the purpose of this Act.

**Table III: Professional Development Programs--OPTIONAL WORKING DOCUMENT**

**Describe how each of the following types of comprehensive professional development will be provided for each group of staff persons.**

1. Inservice and preservice training in state-of-the-art vocational and technical education programs and techniques, in effective teaching skills based on research, and in effective practices to improve parental and community involvement [Sec. 135(b)(4)(A)]
  - teachers
  - counselors
  - administrators
2. Support of education programs for teachers of vocational and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to vocational and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry [Sec. 135(b)(4)(B)]
  - teachers
  - paraprofessionals/instructional assistants
3. Internship programs that provide business experience to teachers [Sec. 135(b)(4)(C)]
  - teachers
4. Programs designed to train teachers specifically in the use and application of technology [Sec.(b)(4)(D)]
  - teachers





**Table IV: CORE INDICATORS**

**1. Attainment**

Student attainment of challenging State established academic, and vocational and technical, skill proficiencies.

- a. Percentage of secondary students who complete vocational and technical education programs and pass the ISTEP+ Graduation Qualifying Exam for academic skills.

LEVEL OF PERFORMANCE Baseline to be set in FY00

- b. Percentage of secondary students who are enrolled in a program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE 20%

- c. Percentage of secondary students who complete a vocational and technical education program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE 70%

- d. Percentage of postsecondary students who complete occupationally specific programs and have a cumulative grade point average of 2.5 / 4.0 or better.

LEVEL OF PERFORMANCE 90%

- e. Percentage of postsecondary students who are enrolled in an occupationally specific program that leads to a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel and receive a Certificate of Technical Achievement or other certification endorsed by the Workforce Proficiency Panel.

LEVEL OF PERFORMANCE 20%

- f. Percentage of postsecondary students who complete an occupationally specific program and possess the occupational skills necessary to obtain employment in the field for which they trained.

LEVEL OF PERFORMANCE 70%

**2. Completion**

Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma, or a postsecondary degree or credential.

- a. Percentage of secondary students who complete vocational and technical education programs and attain a high school diploma or its recognized equivalent.

LEVEL OF PERFORMANCE 83%

- b. Percentage of postsecondary students who enroll in occupationally specific programs as degree-seeking students and attain a postsecondary degree or credential within three years.

LEVEL OF PERFORMANCE 20%

### 3. Placement

Placement in, retention in, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment.

- a. Percentage of secondary students who complete vocational and technical education programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE 75%

- b. Percentage of postsecondary students who complete occupationally specific programs and are placed in further education, military service, and/or employment.

LEVEL OF PERFORMANCE 83%

### 4. Equity

Student participation in and completion of vocational and technical education programs that lead to nontraditional training and employment.

- a. Percentage of secondary students participating in vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 5%

- b. Percentage of secondary students completing vocational and technical education programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 3%

- c. Percentage of postsecondary students participating in occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 10%

- d. Percentage of postsecondary students completing occupationally specific programs who are nontraditional for their gender.

LEVEL OF PERFORMANCE 2%

4. Planning Estimates for Secondary, Postsecondary and Department of Correction

